



EUROPEAN COMMISSION
INNOVATION AND NETWORKS EXECUTIVE AGENCY
INEA.H — Horizon 2020 Department
H.2 — Transport Research

Ana DRĂGUȚESCU
ICLEI EURO
LEOPOLDRING 3
79098 FREIBURG IM BREISGAU
GERMANY

Subject: Horizon 2020 Framework Programme
Project: 690669 — SUMPs-Up
Project review (Article 22)
Draft project review report

Dear Madam/Sir,


I am writing in connection with the above-mentioned review procedure for your grant.

Please find enclosed the draft review report.

In our view, the project has been completed.

To improve the implementation, we would recommend the following changes:

Not applicable

 Please also note that a positive assessment of the technical work does NOT automatically guarantee that the costs will be accepted. This will depend on a number of other factors (such as compliance with cost eligibility rules, which will be assessed separately, on the basis of your financial statements and financial audits, if any).

Please submit **observations** — within **30 days** of receiving this letter — as formal notification via your [Funding & Tenders Portal account](#).

I would be grateful if you could inform the other members of your consortium (if any) of this letter.

For any questions, please contact us via your [Funding & Tenders Portal account](#).

Yours faithfully,

Authorising Officer

Enclosures: Review report

FINANCIAL STATEMENT ASSESSMENT SHEET (H2020 GENERAL)

Project: 690669 - SUMPs-Up

Participant: 5 - BEN - 999482666 - RUPPRECHT CONSULT-FORSCHUNG & BERATUNG GMBH (RUPPRECHT)

Reimbursement rate: 100 %

Reporting Period: 2 (from: 01/03/2018 to 31/08/2019)

Adjustment to previous period: NO

Certificate LRI: N/A

Certificate on financial statements (CFS): N/A

Call ID: H2020-MG-2014-2015

Assessment CFS: N/A

	FINANCIAL STATEMENT ASSESSMENT														Additional information
	Eligible costs (per budget category)										Receipts	EU contribution			
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs	Total costs (RP)	Receipts (RP)	Reimbursement rate %	Maximum EU contribution (RP)	Requested EU contribution (RP)	Information for indirect costs
	A.1 Employees (or equivalent) A.2 Natural persons under direct contract A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary			[C.1 Financial support] [C.2 Prizes]	D.1 Travel D.2 Equipment D.3 Other goods and services	D.5 Cost of internally invoiced goods and services			Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises
Form of costs	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate						
									25%						
	a	Total b	No hours	Total c	d	[e]	f	Total h	i = 0,25 x (a + b + c + f + h - p)	k = a + b +c + d + [e] + f + h + i	l	m	n	o	p
Declared	159,103.73	-	-	-	266,800.00	-	17,211.03	-	44,078.69	487,193.45	-	100%	487,193.45	487,193.45	-
Rejected	-	-	-	-	-	-	-	-	-	-	-	100%	-	-	-
CFS capping	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	-	N/A
Total Accepted	159,103.73	-	-	-	266,800.00	-	17,211.03	-	44,078.69	487,193.45	-	100%	487,193.45	487,193.45	-

REMARKS:

FINANCIAL STATEMENT ASSESSMENT SHEET (H2020 GENERAL)

Project: 690669 - SUMPs-Up

Participant: 5 - BEN - 999482666 - RUPPRECHT CONSULT-FORSCHUNG & BERATUNG GMBH (RUPPRECHT)

Reimbursement rate: 100 %

Reporting Period: 3 (from: 01/09/2019 to 29/02/2020)

Adjustment to previous period: NO

Certificate LRI: N/A

Certificate on financial statements (CFS): YES

Call ID: H2020-MG-2014-2015

Assessment CFS: Approved

	FINANCIAL STATEMENT ASSESSMENT														Additional information
	Eligible costs (per budget category)										Receipts	EU contribution			
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs	Total costs (RP)	Receipts (RP)	Reimbursement rate %	Maximum EU contribution (RP)	Requested EU contribution (RP)	Information for indirect costs
	A.1 Employees (or equivalent) A.2 Natural persons under direct contract A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary			[C.1 Financial support] [C.2 Prizes]	D.1 Travel D.2 Equipment D.3 Other goods and services	D.5 Cost of internally invoiced goods and services			Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises
Form of costs	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate						
	a	Total b	No hours	Total c	d	[e]	f	Total h	25%						
									i = 0.25 x (a + b + c + f + h - p)	k = a + b + c + d + [e] + f + h + i	l	m	n	o	p
Declared	101,435.88	-	-	-	93,550.00	-	22,426.80	-	30,965.67	248,378.35	-	100%	248,378.35	248,378.35	-
Rejected	-	-	-	-	-	-	-	-	-	-	-	100%	-	-	-
CFS capping	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	-	N/A
Total Accepted	101,435.88	-	-	-	93,550.00	-	22,426.80	-	30,965.67	248,378.35	-	100%	248,378.35	248,378.35	-

REMARKS:

FINANCIAL STATEMENT ASSESSMENT SHEET (H2020 GENERAL)

Project: 690669 - SUMPs-Up

Participant: 5 - BEN - 999482666 - RUPPRECHT CONSULT-FORSCHUNG & BERATUNG GMBH (RUPPRECHT)

Reimbursement rate: 100 %

Reporting Period: 3 (from: 01/09/2019 to 29/02/2020)

Adjustment to previous period: YES

Certificate LRI: N/A

Certificate on financial statements (CFS): N/A

Call ID: H2020-MG-2014-2015

If yes, adjustment to RP: 2 (from: 01/03/2018 to 31/08/2019)

Assessment CFS: Approved

	FINANCIAL STATEMENT ASSESSMENT														Additional information
	Eligible costs (per budget category)										Receipts	EU contribution			
	A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs	Total costs (RP)	Receipts (RP)	Reimbursement rate %	Maximum EU contribution (RP)	Requested EU contribution (RP)	Information for indirect costs
	A.1 Employees (or equivalent) A.2 Natural persons under direct contract A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary			[C.1 Financial support] [C.2 Prizes]	D.1 Travel D.2 Equipment D.3 Other goods and services	D.5 Cost of internally invoiced goods and services			Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises
Form of costs	Actual	Unit	Unit		Actual	Actual	Actual	Unit	Flat-rate 25%						
	a	Total b	No hours	Total c	d	[e]	f	Total h	i = 0.25 x (a + b + c + f + h - p)	k = a + b + c + d + [e] + f + h + i	l	m	n	o	p
Declared	-15,337.74	-	-	-	-10,000.00	-	1,132.11	-	-3,551.41	-27,757.04	-	100%	-27,757.04	-27,757.04	-
Rejected	-	-	-	-	-	-	-	-	-	-	-	100%	-	-	-
Total Accepted	-15,337.74	-	-	-	-10,000.00	-	1,132.11	-	-3,551.41	-27,757.04	-	100%	-27,757.04	-27,757.04	-

REMARKS:

MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS

Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the 'Terms of Reference (ToR)' under which

Rupprecht Consult Forschung & Beratung GmbH ('the Beneficiary')]

agrees to engage

SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft ('the Auditor')

to produce an independent report of factual findings ('the Report') concerning the Financial Statement(s) drawn up by the *[Beneficiary]* for the Horizon 2020 grant agreement number 690669 – European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans- SUMPs-Up ('the Agreement'), and

to issue a Certificate on the Financial Statements' ('CFS') referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and Innovation and Networks Executive Agency (INEA) ('the Agency'), under the powers delegated by the European Commission ('the Commission').]

The Innovation and Networks Executive Agency is mentioned as a signatory of the Agreement with the Beneficiary only. The European Union is not a party to this engagement.

1.1 Subject of the engagement

The coordinator must submit to the Innovation and Networks Executive Agency the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325,000.00 or more; as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement.

The CFS is composed of two separate documents:

- The Terms of Reference ('the ToR') to be signed by the beneficiary and the Auditor;
- The Auditor's Independent Report of Factual Findings ('the Report') to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or the competent public officer)

which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the Commission [Agency,] the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

1.2 Responsibilities

The Beneficiary

- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the Beneficiary's accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the Beneficiary's staff and accounting as well as any other relevant records and documentation.

The Auditor:

- is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations/.

The Auditor:

- must be independent from the Beneficiary in particular, it must not have been involved in preparing the Beneficiary's Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the Beneficiary.

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Agency requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

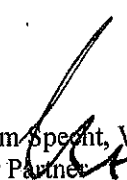
Under Article 22 of the Agreement, the Commission, the Agency, the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from the European Union budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the Commission, the Agency, the European Anti-Fraud Office or the European Court of Auditors requests them.


1.5 Timing

The Report must be provided by 30th April 2020.

1.6 Other terms

The execution of the order and our responsibility – also in the relationship to third parties – are subject to the "General terms of order for tax consultants and tax consulting companies", in the version of 1st January 2017, attached as annex 3. As far as no maximum amount of liability is specified in the statutory provisions valid for the order, this amount is determined by No. 5 of the General terms of order and – as far as agreed – the amendment of 1st January 2017.


Joachim Specht, Wirtschaftsprüfer
Senior Partner
31st March 2020
Signature of the Auditor


Rupprecht Consult Forschung & Beratung GmbH
Siegfried Rupprecht, Director
31st March 2020
Signature of the Beneficiary



SP Treuhand

Wirtschaftsprüfungsgesellschaft

Karl-Zucker-Straße 1a · 91052 Erlangen
Tel. 09131/ 9086128 · Fax 09131/4046309

SP Treuhand GmbH · Karl-Zucker-Straße 1a · 91052 Erlangen

**Independent Report of Factual Findings on costs declared
under Horizon 2020 Research and Innovation Framework Programme –
Grant agreement number 690669 – SUMPs-Up**

To
Siegfried Rupprecht, Director
Rupprecht Consult – Forschung & Beratung GmbH
Clever Straße 13-15, 50668 Köln
30th April 2020

Dear Mr. Rupprecht,

As agreed under the terms of reference dated 31st March 2020

with Rupprecht Consult – Forschung & Beratung GmbH (*the Beneficiary*),

we

SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft
Joachim Specht, Wirtschaftsprüfer (*the Auditor*),

established at

Karl-Zucker-Str. 1, 91052 Erlangen,

represented by

Joachim Specht, Wirtschaftsprüfer,

have carried out the procedures agreed with you regarding the costs declared in the Financial Statements of the Rupprecht Consult – Forschung & Beratung GmbH concerning the grant agreement Number 690669 – SUMPs-Up (*the Agreement*),

with a total cost declared of
927,190,23 EUR,

and a total of actual costs and unit costs calculated in accordance with the Beneficiary's usual cost accounting practices declared of

927,190.23 €

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

The Procedures were carried out solely to assist the Innovation and Networks Executive Agency (INEA) (Agency) in evaluating whether the Beneficiary's costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The Agency draws its own conclusions from the Report and any additional information it may require.

The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the Beneficiary's Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

Not applicable Findings

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.

- No additional remuneration was paid
- no natural person other than the beneficiary's employees were contracted
- no third parties were involved
- no unit costs were calculated
- persons did not work exclusively for the action without time records
- no depreciation costs were calculated
- no infrastructure costs were calculated
- no internal invoices were issued

Exceptions:

None

Apart from the exceptions listed below, the Beneficiary provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor has no general remarks:

Use of this Report

This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the Beneficiary and the Agency, and only to be submitted to the Agency in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the Beneficiary or by the Agency for any other purpose, nor may it be distributed to any other parties. The Agency may only disclose the Report to authorized parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the Agency by the Beneficiary for the Agreement. Therefore, it does not extend to any other of the Beneficiary's Financial Statement(s).

There was no conflict of interest between the Auditor and the Beneficiary in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR 2,380.00 (including EUR 380.00 of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft
Joachim Specht, Wirtschaftsprüfer, Senior Partner
30th April 2020

Signature of the Auditor



Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

The 'result' column has three different options: 'C', 'E' and 'N.A.':

- 'C' stands for 'confirmed' and means that the auditor can confirm the 'standard factual finding' and, therefore, there is no exception to be reported.
- 'E' stands for 'exception' and means that the Auditor carried out the procedures but cannot confirm the 'standard factual finding', or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- 'N.A.' stands for 'not applicable' and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than the euro' the Procedure related to 'beneficiaries with accounts established in euro' is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE		
	The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A. <i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of</i>		

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>10 people, or 10% of the total, whichever number is the highest)</p> <p>The Auditor sampled 11 people out of the total of 11 people.</p>		
A.1	<p>PERSONNEL COSTS</p> <p>For the persons included in the sample and working under an employment contract or equivalent act (general procedures for individual actual personnel costs and personnel costs declared as unit costs)</p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> o a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract; o the payslips of the employees included in the sample; o reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system; o information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent; o the Beneficiary's usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay); 	<p>1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary's sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary's usual practices.</p> <p>2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.</p> <p>3) Costs were adequately supported and reconciled with the accounts and payroll records.</p> <p>4) Personnel costs did not contain any ineligible elements.</p> <p>5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> o applicable national law on taxes, labour and social security and o any other document that supports the personnel costs declared. <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>		
	<p><i>Further procedures if 'additional remuneration' is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> o reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory obligations, the Beneficiary's usual policy on additional remuneration, criteria used for its calculation, the Beneficiary's usual remuneration practice for projects funded under national funding schemes...); o recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, usual remuneration paid for projects funded by national schemes) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 'Productive hours' and A.4 'Time recording system'). <p><i>'ADDITIONAL REMUNERATION' MEANS ANY PART OF THE REMUNERATION WHICH EXCEEDS WHAT THE PERSON WOULD BE</i></p>	<p>6) The Beneficiary paying "additional remuneration" was a non-profit legal entity.</p> <p>7) The amount of additional remuneration paid corresponded to the Beneficiary's usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.</p> <p>8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.</p> <p>9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>PAID FOR TIME WORKED IN PROJECTS FUNDED BY NATIONAL SCHEMES.</p> <p>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE QUALIFIES AS "ADDITIONAL REMUNERATION" AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</p> <p>(A) IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</p> <p>(B) IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</p> <p>(C) IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</p> <p><i>Additional procedures in case "unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices" is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard factual findings 10-13 listed in the next column:</p>		
		10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently used in all H2020 actions.	C
		11) The employees were charged under the correct category.	C
		12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.	C

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> o obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs; o reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; o verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records; o verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts; o verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents. 	<p>13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.</p> <p>C</p>	
<p>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</p> <p>To confirm standard factual findings 14-17 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p>		<p>14) The natural persons worked under conditions similar to those of an employee, in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed.</p> <p>15) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those results were generated by itself.</p>	<p>N.A.</p> <p>N.A.</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary; the employment conditions of staff in the same category to compare costs and; any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.). <p>For personnel seconded by a third party and included in the sample (not subcontractors)</p> <p>To confirm standard factual findings 18-21 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results; if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit; if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available 	<p>16) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.</p> <p>17) The costs were supported by audit evidence and registered in the accounts.</p> <p>18) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).</p> <p>19) The results of work carried out belong to the Beneficiary, or, if not, the Beneficiary has obtained all necessary rights to fulfil its obligations as if those results were generated by itself..</p> <p><i>If personnel is seconded against payment:</i></p> <p>20) The costs declared were supported with documentation and recorded in the Beneficiary's accounts. The third party did not include any profit.</p> <p><i>If personnel is seconded free of charge:</i></p> <p>21) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll; c</p> <ul style="list-style-type: none"> any other document that supports the costs declared (e.g. invoices, etc.). 		
A.2	<p>PRODUCTIVE HOURS</p> <p>To confirm standard factual findings 22-27 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> the annual productive hours applied were calculated in accordance with one of the methods described below, the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated. <p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the 'annual productive hours' applied when calculating the hourly rate were equivalent to at least 90 % of the 'standard annual workable hours'. The Auditor can only do this if the calculation of the standard annual workable hours can be supported by</p>	<p>22) The Beneficiary applied method C: 'standard annual productive hours' used correspond to usual accounting practices</p> <p>23) Productive hours were calculated annually.</p> <p>24) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.</p> <p><i>If the Beneficiary applied method B.</i></p> <p>25) The calculation of the number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary.</p> <p>25.1) The Beneficiary calculates the hourly rates per full financial year following procedure A.3 (method B is not allowed for beneficiaries calculating hourly rates per month).</p> <p><i>If the Beneficiary applied method C.</i></p> <p>26) The calculation of the number of 'standard annual workable hours' was verifiable based on the documents provided by the Beneficiary.</p>	<p>C</p> <p>C</p> <p>C</p> <p>N.A.</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY'S PRODUCTIVE HOURS' FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p><i>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</i></p> <p><i>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL NUMBER OF HOURS WORKED' IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</i></p> <p><i>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'STANDARD ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</i></p> <p><i>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</i></p>	<p>27) The 'annual productive hours' used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the 'annual workable hours'.</p>	C

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.3	<p>HOURLY PERSONNEL RATES</p> <p>I) For unit costs calculated in accordance to the <u>Beneficiary's usual cost accounting practice (unit costs)</u>:</p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission's letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> o reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; o recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2. <p>II) <u>For individual hourly rates</u>:</p> <p>The Auditor:</p> <ul style="list-style-type: none"> o reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; o recalculated the hourly rates of staff included in the sample (recalculation of all hourly rates if the Beneficiary uses annual rates, recalculation of three 	<p>28) The Beneficiary applied</p> <p>Option II: Individual hourly rates were applied</p> <p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>29) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all activities irrespective of the source of funding.</p> <p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>30) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p><i>For option II concerning individual hourly rates:</i></p> <p>31) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p>31.1) The Beneficiary used only one option (per full financial year or per month) throughout each financial year examined.</p> <p>31.2) The hourly rates do not include additional remuneration.</p>	<p>C</p> <p>N.A.</p> <p>N.A.</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>months selected randomly for every year and person if the Beneficiary uses monthly rates) following the results of the procedures carried out in A.1 and A.2;</p> <ul style="list-style-type: none"> ○ (only in case of monthly rates) confirmed that the time spent on parental leave is not deducted, and that, if parts of the basic remuneration are generated over a period longer than a month, the Beneficiary has included only the share which is generated in the month. <p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u> <u>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2.</u> <u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u> <u>IT IS CALCULATED FOLLOWING ONE OF THE TWO OPTIONS BELOW:</u></p> <p>A) [OPTION BY DEFAULT] BY DIVIDING THE ACTUAL ANNUAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2 (FULL FINANCIAL YEAR HOURLY RATE);</p> <p>B) BY DIVIDING THE ACTUAL MONTHLY AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH PROCEDURE A.1 BY 1/12 OF THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.(MONTHLY HOURLY RATE).</p>		

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A.4	<p>TIME RECORDING SYSTEM</p> <p>To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records:</p> <ul style="list-style-type: none"> o description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system); o its actual implementation; o time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager; o the hours declared were worked within the project period; o there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ; o the hours charged to the action matched those in the time recording system. <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE</i></p>	32) All persons recorded their time dedicated to the action on a daily basis using a computer-based system.	C
		33) Their time-records were authorised at least monthly by the project manager or other superior.	C
		34) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.	C
		35) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.	C

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<i>SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i>		
	<p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	36) The exclusive dedication is supported by a declaration signed by the Beneficiary and by any other evidence gathered.	N.A.
B	COSTS OF SUBCONTRACTING		
B.1	<p>The Auditor obtained the detail/breakdown of subcontracting costs and sampled 14 % cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is highest).</p> <p>To confirm standard factual findings 37-41 listed in the next column, the Auditor reviewed the following for the items included in the sample:</p> <ul style="list-style-type: none"> the use of subcontractors was foreseen in Annex 1; subcontracting costs were declared in the subcontracting category of the Financial Statement; supporting documents on the selection and award procedure were followed; the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are 	<p>37) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.</p> <p>38) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money. <i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p> <p>39) The subcontracts were not awarded to other Beneficiaries of the consortium.</p>	<p>C</p> <p>C</p> <p>C</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment).</p> <p>In particular,</p> <ul style="list-style-type: none"> i. if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement. ii. if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> o the subcontracts were not awarded to other Beneficiaries in the consortium; o there were signed agreements between the Beneficiary and the subcontractor; o there was evidence that the services were provided by subcontractor; 	<p>40) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.</p> <p>41) There was evidence that the services were provided by the subcontractors.</p>	<p>C</p> <p>C.</p>

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
C	COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES		
C.1	<p>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled 11 % cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1; b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were respected. 	<p>42) All minimum conditions were met</p> <p>C.</p>	

D	OTHER ACTUAL DIRECT COSTS		
D.1	<p>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</p> <p>The Auditor sampled 12 % cost items selected randomly (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest</i>).</p> <p>The Auditor inspected the sample and verified that:</p>	<p>43) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.</p> <p>44) There was a link between the trip and the action.</p> <p>45) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.</p>	<p>C.</p> <p>C.</p> <p>C.</p>

	<ul style="list-style-type: none"> o travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy; o travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference; o no ineligible costs or excessive or reckless expenditure was declared (see Article 6.5 MGA). 	<p>46) No ineligible costs or excessive or reckless expenditure was declared.</p> <p>C.</p>	
D.2	<p>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</p> <p>The Auditor sampled _____ cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is the highest).</p> <p>For "equipment, infrastructure or other assets" [from now on called "asset(s)"] selected in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> o the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures; o they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action) o they were entered in the accounting system; 	<p>47) Procurement rules, principles and guides were followed.</p> <p>48) There was a link between the grant agreement and the asset charged to the action.</p> <p>49) The asset charged to the action was traceable to the accounting records and the underlying documents.</p> <p>50) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.</p> <p>51) The amount charged corresponded to the actual usage for the action.</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>

	<ul style="list-style-type: none"> the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table); <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary's country and with the Beneficiary's usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	52) No ineligible costs or excessive or reckless expenditure were declared.	N.A.
D.3	<p>COSTS OF OTHER GOODS AND SERVICES</p> <p>The Auditor sampled 42 % cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is highest).</p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> the contracts did not cover tasks described in Annex 1; they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting); the goods were not placed in the inventory of durable equipment; the costs charged to the action were accounted in line with the Beneficiary's usual accounting practices; no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA). 	<p>53) Contracts for works or services did not cover tasks described in Annex 1.</p> <p>54) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.</p> <p>55) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.</p> <p>56) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.</p> <p>57) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money.</p>	<p>C.</p> <p>C.</p> <p>C.</p> <p>C.</p> <p>C.</p>

<p>In addition, the Auditor verified that these goods and services were acquired in conformity with the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> ○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC (or 2014/24/EU) or of Directive 2004/17/EC (or 2014/25/EU), the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement. ○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> ○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment); <p><i>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.</i></p>	<p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>
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<p>D.4</p>	<p>AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE</p> <p>The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020.</p> <p><i>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 58-59 on the next column),</i></p> <p>The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><i>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 60 on the next column),</i></p> <p>The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p> <p><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 60 on the next column),</i></p> <ul style="list-style-type: none"> • The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations. 	<p>58) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.</p>	<p>N.A.</p>
		<p>59) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.</p>	<p>N.A.</p>
		<p>60) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.</p>	<p>N.A.</p>
<p>D.5</p>	<p>Costs of internally invoiced goods and services</p>	<p>61) The costs of internally invoiced goods and services included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice.</p>	<p>N.A.</p>

	<p>The Auditor sampled cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest).</p> <p>To confirm standard factual findings 61-65 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> o obtained a description of the Beneficiary's usual cost accounting practice to calculate costs of internally invoiced goods and services (unit costs); o reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; o ensured that the methodology to calculate unit costs is being used in a consistent manner, based on objective criteria, regardless of the source of funding; o verified that any ineligible items or any costs claimed under other budget categories, in particular indirect costs, have not been taken into account when calculating the costs of internally invoiced goods and services (see Article 6 GA); o verified whether actual costs of internally invoiced goods and services were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, and correspond to objective and verifiable information. o verified that any costs of items which are not directly linked to the production of the invoiced goods or service (e.g. supporting services like cleaning, general accountancy, administrative support, etc. not directly used for production of the good or service) have not 	<p>62) The cost accounting practices used to calculate the costs of internally invoiced goods and services were applied by the Beneficiary in a consistent manner based on objective criteria regardless of the source of funding.</p> <p>63) The unit cost is calculated using the actual costs for the good or service recorded in the Beneficiary's accounts, excluding any ineligible cost or costs included in other budget categories.</p> <p>64) The unit cost excludes any costs of items which are not directly linked to the production of the invoiced goods or service.</p> <p>65) The costs items used for calculating the actual costs of internally invoiced goods and services were relevant, reasonable and correspond to objective and verifiable information.</p>	<p>N.A.</p> <p>N.A.</p> <p>N.A.</p> <p>N.A.</p>
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	<p>been taken into account when calculating the costs of internally invoiced goods and services.</p> <ul style="list-style-type: none"> o verified that any costs of items used for calculating the costs internally invoiced goods and services are supported by audit evidence and registered in the accounts. 		
E	USE OF EXCHANGE RATES		
E.1	<p>a) For Beneficiaries with accounts established in a currency other than euros</p> <p>The Auditor sampled 10 % cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p>COSTS RECORDED IN THE ACCOUNTS IN A CURRENCY OTHER THAN EURO SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</p> <p>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</p>	<p>66) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.</p>	C.

	<p>b) For Beneficiaries with accounts established in euros</p> <p>The Auditor sampled 10 % cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>):</p> <p>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY'S USUAL ACCOUNTING PRACTICES.</p>	<p>67) The Beneficiary applied its usual accounting practices.</p>	C.
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SP Treuhand GmbH Wirtschaftsprüfungsgesellschaft
Joachim Specht, Wirtschaftsprüfer, Senior Partner
30th April 2020





EUROPEAN COMMISSION
Innovation and Networks Executive Agency
Director



GRANT AGREEMENT

NUMBER — 690669 — SUMPs-Up

This **Agreement** ('the Agreement') is **between** the following parties:

on the one part,

*the **Innovation and Networks Executive Agency (INEA)** ('the Agency'), under the power delegated by the European Commission ('the Commission')¹,*

represented for the purposes of signature of this Agreement by Executive Director, Innovation and Networks Executive Agency, Dirk BECKERS,

and

on the other part,

1. 'the coordinator':

ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)* (ICLEI EURO) GMBH, HRB4188, established in Leopoldring 3, Freiburg 79098, Germany, DE153445986, represented for the purposes of signing the Agreement by Regional Director Europe and Managing Director, Wolfgang TEUBNER

and the following other beneficiaries, if they sign their 'Accession Form' (see Annex 3 and Article 56):

2. **POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE (POLIS) AISBL**, 5383/97, established in rue du Trône 98, BRUXELLES 1050, Belgium, BE460400701,

3. **CITY OF TURKU (CITY OF TURKU)**, 02048198, established in YLIOPISTONKATU 27 A, TURKU 20100, Finland, FI02048198,

4. **EUROCITIES ASBL (EUROCITIES ASBL) ASBL**, 447820987, established in SQUARE DE MEEUS 1, BRUXELLES 1000, Belgium, BE0447820987,

5. **RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GMBH (RUPPRECHT) GMBH**, HRB30833, established in CLEVER STRASSE 13-15, KOELN 50668, Germany, DE198534371,

6. **Trivector Traffic AB (TRIVECTOR) AB**, 556555 1701, established in Åldermansgatan 13, Lund S-22764, Sweden, SE556555170101,

7. **WUPPERTAL INSTITUT FÜR KLIMA, UMWELT, ENERGIE GMBH (WI) GMBH**, HRB7619, established in DOPPERSBERG 19, WUPPERTAL 42103, Germany, DE121091633,

8. **CENTRE D ETUDES ET D EXPERTISE SUR LES RISQUES L ENVIRONNEMENT LA MOBILITE ET L AMENAGEMENT (Cerema)**, 130018310, established in 25 AV FRANCOIS MITTERRAND, BRON 69500, France, FR94130018310,

9. **FONDAZIONE TORINO WIRELESS (TOWL) IT3**, CF97634160010, established in GALLERIA SAN FEDERICO 54, TORINO 10122, Italy, IT09049730014,

¹ Text in *italics* shows the options of the Model Grant Agreement that are applicable to this Agreement.

10. **AYUNTAMIENTO DE DONOSTIA SAN SEBASTIAN (ADS)**, N/A, established in CALLE IGENTEA 1, SAN SEBASTIAN 20003, Spain, ESP2007400A,
11. **MALMO STAD (Malmö)**, 2120001124, established in AUGUST PALM PLATS 1, MALMO 200 42, Sweden, SE212000112401,
12. **BKK BUDAPESTI KOZLEKEDESI KOZPONT ZARTKORUEN MUKODO RESZVENYTARSASAG (BKK)** RT, 0110046840, established in RUMBACH SEBESTYEN UTCA 19-21, BUDAPEST 1075, Hungary, HU17781372,
13. **TSENTAR ZA GRADSKA MOBILNOST EAD (SUMC)** EAD, BG202218735 , established in Kniaginia Maria Luiza Blvd. 84, Sofia 1202 , Bulgaria, BG202218735 ,
14. **BIRMINGHAM CITY COUNCIL (BCC)**, established in COUNCIL HOUSE, VICTORIA SQUARE, BIRMINGHAM B1 1BB, United Kingdom, GB112082130 ,
15. **THESSALONIKI PUBLIC TRANSPORT AUTHORITY (THEPTA)**, established in GEORGIKIS SCHOLIS AVENUE 65, PYLEA THESSALONIKI 57001, Greece, EL099956698,

Unless otherwise specified, references to ‘beneficiary’ or ‘beneficiaries’ include the coordinator.

The parties referred to above have agreed to enter into the Agreement under the terms and conditions below.

By signing the Agreement or the Accession Form, the beneficiaries accept the grant and agree to implement it under their own responsibility and in accordance with the Agreement, with all the obligations and conditions it sets out.

The Agreement is composed of:

Terms and Conditions

- | | |
|---------|---|
| Annex 1 | Description of the action |
| Annex 2 | Estimated budget for the action |
| Annex 3 | Accession Forms |
| Annex 4 | Model for the financial statements |
| Annex 5 | Model for the certificate on the financial statements |
| Annex 6 | Model for the certificate on the methodology |

TERMS AND CONDITIONS

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CHAPTER 1 GENERAL

ARTICLE 1 — SUBJECT OF THE AGREEMENT

This Agreement sets out the rights and obligations and the terms and conditions applicable to the grant awarded to the beneficiaries for implementing the action set out in Chapter 2.

CHAPTER 2 ACTION

ARTICLE 2 — ACTION TO BE IMPLEMENTED

The grant is awarded for the action entitled ‘*European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans — SUMPs-Up*’ (‘action’), as described in Annex 1.

ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION

The duration of the action will be **42 months** as of *1 September 2016* (‘**starting date of the action**’).

ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS

4.1 Estimated budget

The ‘**estimated budget**’ for the action is set out in Annex 2.

It contains the estimated eligible costs and the forms of costs, broken down by beneficiary and budget category (see Articles 5, 6).

4.2 Budget transfers

The estimated budget breakdown indicated in Annex 2 may be adjusted by transfers of amounts between beneficiaries or between budget categories (or both). This does not require an amendment according to Article 55, if the action is implemented as described in Annex 1.

However, the beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment or in accordance with Article 13.

CHAPTER 3 GRANT

ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COSTS

5.1 Maximum grant amount

The ‘**maximum grant amount**’ is **EUR 3,999,921.25** (three million nine hundred and ninety nine thousand nine hundred and twenty one EURO and twenty five eurocents).

5.2 Form of grant, reimbursement rates and forms of costs

The grant reimburses **100% of the action's eligible costs** (see Article 6) (**'reimbursement of eligible costs grant'**) (see Annex 2).

The estimated eligible costs of the action are EUR **3,999,921.25** (three million nine hundred and ninety nine thousand nine hundred and twenty one EURO and twenty five eurocents).

Eligible costs (see Article 6) must be declared under the following forms (**'forms of costs'**):

(a) for **direct personnel costs**:

- as actually incurred costs (**'actual costs'**) or
- on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**).

Personnel **costs for SME owners or beneficiaries that are natural persons** not receiving a salary (see Article 6.2, Points A.4 and A.5) must be declared on the basis of the amount per unit set out in Annex 2 (**'unit costs'**);

(b) for **direct costs for subcontracting**: as actually incurred costs (**'actual costs'**);

(c) for **direct costs of providing financial support to third parties**: *not applicable*;

(d) for **other direct costs**: as actually incurred costs (**'actual costs'**);

(e) for **indirect costs**: on the basis of a flat-rate applied as set out in Article 6.2, Point E (**'flat-rate costs'**);

(f) *specific cost category(ies): not applicable*.

5.3 Final grant amount — Calculation

The **'final grant amount'** depends on the actual extent to which the action is implemented in accordance with the Agreement's terms and conditions.

This amount is calculated by the *Agency* — when the payment of the balance is made (see Article 21.4) — in the following steps:

Step 1 – Application of the reimbursement rates to the eligible costs

Step 2 – Limit to the maximum grant amount

Step 3 – Reduction due to the no-profit rule

Step 4 – Reduction due to improper implementation or breach of other obligations

5.3.1 Step 1 — Application of the reimbursement rates to the eligible costs

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) declared by the beneficiaries (see Article 20) and approved by the *Agency* (see Article 21).

5.3.2 Step 2 — Limit to the maximum grant amount

If the amount obtained following Step 1 is higher than the maximum grant amount set out in Article 5.1, it will be limited to the latter.

5.3.3 Step 3 — Reduction due to the no-profit rule

The grant must not produce a profit.

‘**Profit**’ means the surplus of the amount obtained following Steps 1 and 2 plus the action’s total receipts, over the action’s total eligible costs.

The ‘**action’s total eligible costs**’ are the consolidated total eligible costs approved by the *Agency*.

The ‘**action’s total receipts**’ are the consolidated total receipts generated during its duration (see Article 3).

The following are considered **receipts**:

- (a) income generated by the action; if the income is generated from selling equipment or other assets purchased under the Agreement, the receipt is up to the amount declared as eligible under the Agreement;
- (b) financial contributions given by third parties to the beneficiary specifically to be used for the action, and
- (c) in-kind contributions provided by third parties free of charge and specifically to be used for the action, if they have been declared as eligible costs.

The following are however not considered receipts:

- (a) income generated by exploiting the action’s results (see Article 28);
- (b) financial contributions by third parties, if they may be used to cover costs other than the eligible costs (see Article 6);
- (c) financial contributions by third parties with no obligation to repay any amount unused at the end of the period set out in Article 3.

If there is a profit, it will be deducted from the amount obtained following Steps 1 and 2.

5.3.4 Step 4 — Reduction due to improper implementation or breach of other obligations — Reduced grant amount — Calculation

If the grant is reduced (see Article 43), the *Agency* will calculate the reduced grant amount by deducting the amount of the reduction (calculated in proportion to the improper implementation of the action or to the seriousness of the breach of obligations in accordance with Article 43.2) from the maximum grant amount set out in Article 5.1.

The final grant amount will be the lower of the following two:

- the amount obtained following Steps 1 to 3 or
- the reduced grant amount following Step 4.

5.4 Revised final grant amount — Calculation

If — after the payment of the balance (in particular, after checks, reviews, audits or investigations; see Article 22) — the *Agency* rejects costs (see Article 42) or reduces the grant (see Article 43), it will calculate the ‘**revised final grant amount**’ for the beneficiary concerned by the findings.

This amount is calculated by the *Agency* on the basis of the findings, as follows:

- in case of **rejection of costs**: by applying the reimbursement rate to the revised eligible costs approved by the *Agency* for the beneficiary concerned;
- in case of **reduction of the grant**: by calculating the concerned beneficiary’s share in the grant amount reduced in proportion to its improper implementation of the action or to the seriousness of its breach of obligations (see Article 43.2).

In case of **rejection of costs and reduction of the grant**, the revised final grant amount for the beneficiary concerned will be the lower of the two amounts above.

ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS

6.1 General conditions for costs to be eligible

‘**Eligible costs**’ are costs that meet the following criteria:

(a) for **actual costs**:

- (i) they must be actually incurred by the beneficiary;
- (ii) they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- (iii) they must be indicated in the estimated budget set out in Annex 2;
- (iv) they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- (v) they must be identifiable and verifiable, in particular recorded in the beneficiary’s accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary’s usual cost accounting practices;
- (vi) they must comply with the applicable national law on taxes, labour and social security, and
- (vii) they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;

(b) for **unit costs**:

(i) they must be calculated as follows:

{amounts per unit set out in Annex 2 or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, Point A)

multiplied by

the number of actual units};

(ii) the number of actual units must comply with the following conditions:

- the units must be actually used or produced in the period set out in Article 3;
- the units must be necessary for implementing the action or produced by it, and
- the number of units must be identifiable and verifiable, in particular supported by records and documentation (see Article 18);

(c) for **flat-rate costs**:

(i) they must be calculated by applying the flat-rate set out in Annex 2, and

(ii) the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out in this Article.

6.2 Specific conditions for costs to be eligible

Costs are eligible if they comply with the general conditions (see above) and the specific conditions set out below for each of the following budget categories:

- A. direct personnel costs;
- B. direct costs of subcontracting;
- C. *not applicable*;
- D. other direct costs;
- E. indirect costs;
- F. *not applicable*.

‘Direct costs’ are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs (see Point E below).

‘Indirect costs’ are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

A. Direct personnel costs

Types of eligible personnel costs

A.1 **Personnel costs** are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action (‘**costs for employees (or equivalent)**’). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the **remuneration**, if they arise from national law or the employment contract (or equivalent appointing act).

Beneficiaries that are non-profit legal entities² may also declare as personnel costs **additional remuneration** for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:

- (a) it is part of the beneficiary's usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
- (b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

Additional remuneration for personnel assigned to the action is eligible up to the following amount:

- (a) if the person works full time and exclusively on the action during the full year: up to EUR 8 000;
- (b) if the person works exclusively on the action but not full-time or not for the full year: up to the corresponding pro-rata amount of EUR 8 000, or
- (c) if the person does not work exclusively on the action: up to a pro-rata amount calculated as follows:

{ {EUR 8 000

divided by

the number of annual productive hours (see below)},

multiplied by

the number of hours that the person has worked on the action during the year}.

A.2 The **costs for natural persons working under a direct contract** with the beneficiary other than an employment contract are eligible personnel costs, if:

- (a) the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- (b) the result of the work carried out belongs to the beneficiary, and
- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

A.3 The **costs of personnel seconded by a third party against payment** are eligible personnel costs, if the conditions in Article 11.1 are met.

² For the definition, see Article 2.1(14) of the Rules for Participation Regulation No 1290/2013: '**non-profit legal entity**' means a legal entity which by its legal form is non-profit-making or which has a legal or statutory obligation not to distribute profits to its shareholders or individual members.

A.4 Costs of owners of beneficiaries that are small and medium-sized enterprises (**‘SME owners’**) who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

A.5 Costs of ‘beneficiaries that are natural persons’ not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

Calculation

Personnel costs must be calculated by the beneficiaries as follows:

{ {hourly rate
multiplied by
the number of actual hours worked on the action},
plus
for non-profit legal entities: additional remuneration to personnel assigned to the action under the conditions set out above (Point A.1)}.

The number of actual hours declared for a person must be identifiable and verifiable (see Article 18).

The total number of hours declared in EU or Euratom grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant is:

{the number of annual productive hours for the year (see below)
minus
total number of hours declared by the beneficiary for that person in that year for other EU or Euratom grants}.

The **‘hourly rate’** is one of the following:

(a) for personnel costs declared as **actual costs**: the hourly rate is the amount calculated as follows:

{actual annual personnel costs (excluding additional remuneration) for the person
divided by
number of annual productive hours}.

The beneficiaries must use the annual personnel costs and the number of annual productive hours for each financial year covered by the reporting period. If a financial year is not closed at the end of the reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the ‘number of annual productive hours’, the beneficiaries may choose one of the following:

(i) ‘fixed number of hours’: 1 720 hours for persons working full time (or corresponding pro-rata for persons not working full time);

- (ii) ‘individual annual productive hours’: the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

{annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law)

plus

overtime worked

minus

absences (such as sick leave and special leave)}.

‘Annual workable hours’ means the period during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

- (iii) ‘standard annual productive hours’: the ‘standard number of annual hours’ generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the ‘standard annual workable hours’.

If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on **parental leave** by a person assigned to the action may be deducted from the number of annual productive hours;

- (b) for personnel costs declared on the basis of **unit costs**: the hourly rate is one of the following:

- (i) for SME owners or beneficiaries that are natural persons: the hourly rate set out in Annex 2 (see Points A.4 and A.5 above), or
- (ii) for personnel costs declared on the basis of the beneficiary’s usual cost accounting practices: the hourly rate calculated by the beneficiary in accordance with its usual cost accounting practices, if:
 - the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
 - the hourly rate is calculated using the actual personnel costs recorded in the beneficiary’s accounts, excluding any ineligible cost or costs included in other budget categories.

The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating

the personnel costs, reasonable and correspond to objective and verifiable information;

and

- the hourly rate is calculated using the number of annual productive hours (see above).

B. Direct costs of subcontracting (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if the conditions in Article 13.1.1 are met.

C. Direct costs of providing financial support to third parties *not applicable*.

D. Other direct costs

D.1 Travel costs and related subsistence allowances (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if they are in line with the beneficiary's usual practices on travel.

D.2 The depreciation costs of equipment, infrastructure or other assets *(new or second-hand) as recorded in the beneficiary's accounts are eligible, if they were purchased in accordance with Article 10.1.1 and written off in accordance with international accounting standards and the beneficiary's usual accounting practices.*

The costs of renting or leasing equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.

*The costs of equipment, infrastructure or other assets **contributed in-kind against payment** are eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets, do not include any financing fees and if the conditions in Article 11.1 are met.*

The only portion of the costs that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.

D.3 Costs of other goods and services (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they are:

- (a) purchased specifically for the action and in accordance with Article 10.1.1 or
- (b) contributed in kind against payment and in accordance with Article 11.1.

Such goods and services include, for instance, consumables and supplies, dissemination (including open access), protection of results, certificates on the financial statements (if they are required by the Agreement), certificates on the methodology, translations and publications.

D.4 Capitalised and operating costs of ‘large research infrastructure’³ directly used for the action are eligible, if:

- (a) the value of the large research infrastructure represents at least 75% of the total fixed assets (at historical value in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure⁴);*
- (b) the beneficiary’s methodology for declaring the costs for large research infrastructure has been positively assessed by the Commission (‘**ex-ante assessment**’);*
- (c) the beneficiary declares as direct eligible costs only the portion which corresponds to the duration of the action and the rate of actual use for the purposes of the action, and*
- (d) they comply with the conditions as further detailed in the annotations to the H2020 grant agreements.*

E. Indirect costs

Indirect costs are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs (see Article 5.2 and Points A to D above), from which are excluded:

- (a) costs of subcontracting and
- (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary’s premises;
- (c) *not applicable*;
- (d) *not applicable*.

Beneficiaries receiving an operating grant⁵ financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant.

³ ‘**Large research infrastructure**’ means research infrastructure of a total value of at least EUR 20 million, for a beneficiary, calculated as the sum of historical asset values of each individual research infrastructure of that beneficiary, as they appear in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure.

⁴ For the definition, see Article 2(6) of Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) (OJ L 347, 20.12.2013 p.104)-(**‘Horizon 2020 Framework Programme Regulation No 1291/2013’**): ‘**Research infrastructure**’ are facilities, resources and services that are used by the research communities to conduct research and foster innovation in their fields. Where relevant, they may be used beyond research, e.g. for education or public services. They include: major scientific equipment (or sets of instruments); knowledge-based resources such as collections, archives or scientific data; e-infrastructures such as data and computing systems and communication networks; and any other infrastructure of a unique nature essential to achieve excellence in research and innovation. Such infrastructures may be ‘single-sited’, ‘virtual’ or ‘distributed’.

⁵ For the definition, see Article 121(1)(b) of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 218, 26.10.2012, p.1) (**‘Financial Regulation No 966/2012’**): ‘**operating grant**’ means direct financial contribution, by way of donation, from the budget in order to finance the functioning of a body which pursues an aim of general EU interest or has an objective forming part of and supporting an EU policy.

F. Specific cost category(ies)

Not applicable

6.3 Conditions for costs of linked third parties to be eligible

not applicable

6.4 Conditions for in-kind contributions provided by third parties free of charge to be eligible

In-kind contributions provided free of charge are eligible direct costs (for the beneficiary), if the costs incurred by the third party fulfil — *mutatis mutandis* — the general and specific conditions for eligibility set out in this Article (Article 6.1 and 6.2) and Article 12.1.

6.5 Ineligible costs

‘**Ineligible costs**’ are:

(a) costs that do not comply with the conditions set out above (Article 6.1 to 6.4), in particular:

- (i) costs related to return on capital;
- (ii) debt and debt service charges;
- (iii) provisions for future losses or debts;
- (iv) interest owed;
- (v) doubtful debts;
- (vi) currency exchange losses;
- (vii) bank costs charged by the beneficiary’s bank for transfers from the *Agency*;
- (viii) excessive or reckless expenditure;
- (ix) deductible VAT;
- (x) costs incurred during suspension of the implementation of the action (see Article 49);

(b) costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the *Agency* for the purpose of implementing the EU or Euratom budget); in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period.

6.6 Consequences of declaration of ineligible costs

Declared costs that are ineligible will be rejected (see Article 42).

This may also lead to any of the other measures described in Chapter 6.

CHAPTER 4 RIGHTS AND OBLIGATIONS OF THE PARTIES

SECTION 1 RIGHTS AND OBLIGATIONS RELATED TO IMPLEMENTING THE ACTION

ARTICLE 7 — GENERAL OBLIGATION TO PROPERLY IMPLEMENT THE ACTION

7.1 General obligation to properly implement the action

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement and all legal obligations under applicable EU, international and national law.

7.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 8 — RESOURCES TO IMPLEMENT THE ACTION — THIRD PARTIES INVOLVED IN THE ACTION

The beneficiaries must have the appropriate resources to implement the action.

If it is necessary to implement the action, the beneficiaries may:

- purchase goods, works and services (see Article 10);
- use in-kind contributions provided by third parties against payment (see Article 11);
- use in-kind contributions provided by third parties free of charge (see Article 12);
- call upon subcontractors to implement action tasks described in Annex 1 (see Article 13);
- call upon linked third parties to implement action tasks described in Annex 1 (see Article 14).

In these cases, the beneficiaries retain sole responsibility towards the *Agency* and the other beneficiaries for implementing the action.

ARTICLE 9 — IMPLEMENTATION OF ACTION TASKS BY BENEFICIARIES NOT RECEIVING EU FUNDING

Not applicable

ARTICLE 10 — PURCHASE OF GOODS, WORKS OR SERVICES

10.1 Rules for purchasing goods, works or services

10.1.1 If necessary to implement the action, the beneficiaries may purchase goods, works or services.

The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their contractors.

10.1.2 Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC⁶ or ‘contracting entities’ within the meaning of Directive 2004/17/EC⁷ must comply with the applicable national law on public procurement.

10.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 10.1.1, the costs related to the contract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 10.1.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT

11.1 Rules for the use of in-kind contributions against payment

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment.

The beneficiaries may declare costs related to the payment of in-kind contributions as eligible (see Article 6.1 and 6.2), up to the third parties’ costs for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

⁶ Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public work contracts, public supply contracts and public service contracts (OJ L 134, 30.04.2004, p. 114).

⁷ Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.04.2004, p. 1).

11.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the costs related to the payment of the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 12 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES FREE OF CHARGE

12.1 Rules for the use of in-kind contributions free of charge

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties free of charge.

The beneficiaries may declare costs incurred by the third parties for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services as eligible in accordance with Article 6.4.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

12.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the costs incurred by the third parties related to the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS

13.1 Rules for subcontracting action tasks

13.1.1 If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex 1.

Subcontracting may cover only a limited part of the action.

The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The tasks to be implemented and the estimated cost for each subcontract must be set out in Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2. The

Agency may however approve subcontracts not set out in Annex 1 and 2 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their subcontractors.

13.1.2 The beneficiaries must ensure that their obligations under Articles 35, 36, 38 and 46 also apply to the subcontractors.

Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC or ‘contracting entities’ within the meaning of Directive 2004/17/EC must comply with the applicable national law on public procurement.

13.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 13.1.1, the costs related to the subcontract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 13.1.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES

Not applicable

ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES

15.1 Rules for providing financial support to third parties

Not applicable

15.2 Financial support in the form of prizes

Not applicable

15.3 Consequences of non-compliance

Not applicable

ARTICLE 16 — PROVISION OF TRANS-NATIONAL OR VIRTUAL ACCESS TO RESEARCH INFRASTRUCTURE

16.1 Rules for providing trans-national access to research infrastructure

Not applicable

16.2 Rules for providing virtual access to research infrastructure

Not applicable

16.3 Consequences of non-compliance

Not applicable

SECTION 2 RIGHTS AND OBLIGATIONS RELATED TO THE GRANT ADMINISTRATION

ARTICLE 17 — GENERAL OBLIGATION TO INFORM

17.1 General obligation to provide information upon request

The beneficiaries must provide — during implementation of the action or afterwards and in accordance with Article 41.2 — any information requested in order to verify eligibility of the costs, proper implementation of the action and compliance with any other obligation under the Agreement.

17.2 Obligation to keep information up to date and to inform about events and circumstances likely to affect the Agreement

Each beneficiary must keep information stored in the 'Beneficiary Register' (via the electronic exchange system; see Article 52) up to date, in particular, its name, address, legal representatives, legal form and organisation type.

Each beneficiary must immediately inform the coordinator — which must immediately inform the *Agency* and the other beneficiaries — of any of the following:

- (a) **events** which are likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:
 - (i) changes in its legal, financial, technical, organisational or ownership situation
- (b) **circumstances** affecting:
 - (i) the decision to award the grant or
 - (ii) compliance with requirements under the Agreement.

17.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 18 — KEEPING RECORDS — SUPPORTING DOCUMENTATION

18.1 Obligation to keep records and other supporting documentation

The beneficiaries must — for a period of *five* years after the payment of the balance — keep records and other supporting documentation in order to prove the proper implementation of the action and the costs they declare as eligible.

They must make them available upon request (see Article 17) or in the context of checks, reviews, audits or investigations (see Article 22).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the Agreement (including the extension of findings; see Articles 22), the beneficiaries must keep the records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. The *Agency* may accept non-original documents if it considers that they offer a comparable level of assurance.

18.1.1 Records and other supporting documentation on the scientific and technical implementation

The beneficiaries must keep records and other supporting documentation on scientific and technical implementation of the action in line with the accepted standards in the respective field.

18.1.2 Records and other documentation to support the costs declared

The beneficiaries must keep the records and documentation supporting the costs declared, in particular the following:

- (a) for **actual costs**: adequate records and other supporting documentation to prove the costs declared, such as contracts, subcontracts, invoices and accounting records. In addition, the beneficiaries' usual cost accounting practices and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documentation;
- (b) for **unit costs**: adequate records and other supporting documentation to prove the number of units declared. Beneficiaries do not need to identify the actual eligible costs covered or to keep or provide supporting documentation (such as accounting statements) to prove the amount per unit.

In addition, **for direct personnel costs declared as unit costs calculated in accordance with the beneficiary's usual cost accounting practices**, the beneficiaries must keep adequate

records and documentation to prove that the cost accounting practices used comply with the conditions set out in Article 6.2, Point A.

The beneficiaries may submit to the Commission, for approval, a certificate (drawn up in accordance with Annex 6) stating that their usual cost accounting practices comply with these conditions (**‘certificate on the methodology’**). If the certificate is approved, costs declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

- (c) for **flat-rate costs**: adequate records and other supporting documentation to prove the eligibility of the costs to which the flat-rate is applied. The beneficiaries do not need to identify the costs covered or provide supporting documentation (such as accounting statements) to prove the amount declared at a flat-rate.

In addition, for **personnel costs** (declared as actual costs or on the basis of unit costs), the beneficiaries must keep **time records** for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly. In the absence of reliable time records of the hours worked on the action, the *Agency* may accept alternative evidence supporting the number of hours declared, if it considers that it offers an adequate level of assurance.

As an exception, for **persons working exclusively on the action**, there is no need to keep time records, if the beneficiary signs a **declaration** confirming that the persons concerned have worked exclusively on the action.

18.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, costs insufficiently substantiated will be ineligible (see Article 6) and will be rejected (see Article 42), and the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 19 — SUBMISSION OF DELIVERABLES

19.1 Obligation to submit deliverables

The coordinator must submit the **‘deliverables’** identified in Annex 1, in accordance with the timing and conditions set out in it.

19.2 Consequences of non-compliance

If the coordinator breaches any of its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

ARTICLE 20 — REPORTING — PAYMENT REQUESTS

20.1 Obligation to submit reports

The coordinator must submit to the *Agency* (see Article 52) the technical and financial reports set out in this Article. These reports include requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).

20.2 Reporting periods

The action is divided into the following ‘**reporting periods**’:

- RP1: from month 1 to month 18
- RP2: *from month 19 to month 36*
- RP3: *from month 37 to month 42*

20.3 Periodic reports — Requests for interim payments

The coordinator must submit a periodic report within 60 days following the end of each reporting period.

The **periodic report** must include the following:

(a) a ‘**periodic technical report**’ containing:

- (i) an **explanation of the work carried out** by the beneficiaries;
- (ii) an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in Annex 1.

This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out.

The report must also detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated ‘**plan for the exploitation and dissemination of the results**’;

- (iii) a **summary** for publication by the *Agency*;
- (iv) the answers to the ‘**questionnaire**’, covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

(b) a ‘**periodic financial report**’ containing:

- (i) an ‘**individual financial statement**’ (see Annex 4) from each beneficiary, for the reporting period concerned.

The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2).

The beneficiaries must declare all eligible costs, even if — for actual costs, unit costs and flat-rate costs — they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the *Agency*.

If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period.

The individual financial statements of the last reporting period must also detail the **receipts of the action** (see Article 5.3.3).

Each beneficiary must **certify** that:

- the information provided is full, reliable and true;
 - the costs declared are eligible (see Article 6);
 - the costs can be substantiated by adequate records and supporting documentation (see Article 18) that will be produced upon request (see Article 17) or in the context of checks, reviews, audits and investigations (see Article 22), and
 - for the last reporting period: that all the receipts have been declared (see Article 5.3.3);
- (ii) an **explanation of the use of resources** and the information on subcontracting (see Article 13) and in-kind contributions provided by third parties (see Articles 11 and 12) from each beneficiary, for the reporting period concerned;
- (iii) *not applicable*;
- (iv) a '**periodic summary financial statement**' (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the **request for interim payment**.

20.4 Final report — Request for payment of the balance

In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period.

The **final report** must include the following:

- (a) a '**final technical report**' with a **summary** for publication containing:
- (i) an overview of the results and their exploitation and dissemination;
 - (ii) the conclusions on the action, and
 - (iii) the socio-economic impact of the action;
- (b) a '**final financial report**' containing:
- (i) a '**final summary financial statement**' (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the **request for payment of the balance** and

- (ii) a **‘certificate on the financial statements’** (drawn up in accordance with Annex 5) for each beneficiary, if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A).

20.5 Information on cumulative expenditure incurred

Not applicable

20.6 Currency for financial statements and conversion into euro

Financial statements must be drafted in euro.

Beneficiaries with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euro, at the average of the daily exchange rates published in the C series of the *Official Journal of the European Union*, calculated over the corresponding reporting period.

If no daily euro exchange rate is published in the *Official Journal of the European Union* for the currency in question, they must be converted at the average of the monthly accounting rates published on the Commission’s website, calculated over the corresponding reporting period.

Beneficiaries with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices.

20.7 Language of reports

All reports (technical and financial reports, including financial statements) must be submitted in the language of the Agreement.

20.8 Consequences of non-compliance — Suspension of the payment deadline — Termination

If the reports submitted do not comply with this Article, the *Agency* may suspend the payment deadline (see Article 47) and apply any of the other measures described in Chapter 6.

If the coordinator breaches its obligation to submit the reports and if it fails to comply with this obligation within 30 days following a written reminder sent by the *Agency*, the Agreement may be terminated (see Article 50).

ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS

21.1 Payments to be made

The following payments will be made to the coordinator:

- one **pre-financing payment**;
- one or more **interim payments**, on the basis of the request(s) for interim payment (see Article 20), and
- one **payment of the balance**, on the basis of the request for payment of the balance (see Article 20).

21.2 Pre-financing payment — Amount — Amount retained for the Guarantee Fund

The aim of the pre-financing is to provide the beneficiaries with a float.

It remains the property of the *EU* until the payment of the balance.

The amount of the pre-financing payment will be EUR **1,733,299.21** (one million seven hundred and thirty three thousand two hundred and ninety nine EURO and twenty one eurocents).

The *Agency* will — except if Article 48 applies — make the pre-financing payment to the coordinator within 30 days either from the entry into force of the Agreement (see Article 58) or from 10 days before the starting date of the action (see Article 3), whichever is the latest.

An amount of EUR **199,996.06** (one hundred and ninety nine thousand nine hundred and ninety six EURO and six eurocents), corresponding to 5% of the maximum grant amount (see Article 5.1), is retained by the *Agency* from the pre-financing payment and transferred into the ‘**Guarantee Fund**’.

21.3 Interim payments — Amount — Calculation

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods.

The *Agency* will pay to the coordinator the amount due as interim payment within 90 days from receiving the periodic report (see Article 20.3), except if Articles 47 or 48 apply.

Payment is subject to the approval of the periodic report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as interim payment** is calculated by the *Agency* in the following steps:

Step 1 – Application of the reimbursement rates

Step 2 – Limit to 90% of the maximum grant amount

21.3.1 Step 1 — Application of the reimbursement rates

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs ; see Article 6) declared by the beneficiaries (see Article 20) and approved by the *Agency* (see above) for the concerned reporting period.

21.3.2 Step 2 — Limit to 90% of the maximum grant amount

The total amount of pre-financing and interim payments must not exceed 90% of the maximum grant amount set out in Article 5.1. The maximum amount for the interim payment will be calculated as follows:

{90% of the maximum grant amount (see Article 5.1)

minus

{pre-financing and previous interim payments} }.

21.4 Payment of the balance — Amount — Calculation — Release of the amount retained for the Guarantee Fund

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action.

If the total amount of earlier payments is greater than the final grant amount (see Article 5.3), the payment of the balance takes the form of a recovery (see Article 44).

If the total amount of earlier payments is lower than the final grant amount, the *Agency* will pay the balance within 90 days from receiving the final report (see Article 20.4), except if Articles 47 or 48 apply.

Payment is subject to the approval of the final report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as the balance** is calculated by the *Agency* by deducting the total amount of pre-financing and interim payments (if any) already made, from the final grant amount determined in accordance with Article 5.3:

{final grant amount (see Article 5.3)}

minus

{pre-financing and interim payments (if any) made}}.

At the payment of the balance, the amount retained for the Guarantee Fund (see above) will be released and:

- if the balance is positive: the amount released will be paid in full to the coordinator together with the amount due as the balance;
- if the balance is negative (payment of the balance taking the form of recovery): it will be deducted from the amount released (see Article 44.1.2). If the resulting amount:
 - is positive, it will be paid to the coordinator
 - is negative, it will be recovered.

The amount to be paid may however be offset — without the beneficiary's consent — against any other amount owed by the beneficiary to the *Agency*, the Commission or another executive agency (under the EU or Euratom budget), up to the maximum EU contribution indicated, for that beneficiary, in the estimated budget (see Annex 2).

21.5 Notification of amounts due

When making payments, the *Agency* will formally notify to the coordinator the amount due, specifying whether it concerns an interim payment or the payment of the balance.

For the payment of the balance, the notification will also specify the final grant amount.

In the case of reduction of the grant or recovery of undue amounts, the notification will be preceded by the contradictory procedure set out in Articles 43 and 44.

21.6 Currency for payments

The *Agency* will make all payments in euro.

21.7 Payments to the coordinator — Distribution to the beneficiaries

Payments will be made to the coordinator.

Payments to the coordinator will discharge the *Agency* from its payment obligation.

The coordinator must distribute the payments between the beneficiaries without unjustified delay.

Pre-financing may however be distributed only:

- (a) if the minimum number of beneficiaries set out in the call for proposals has acceded to the Agreement (see Article 56) and
- (b) to beneficiaries that have acceded to the Agreement (see Article 56).

21.8 Bank account for payments

All payments will be made to the following bank account:

Name of bank: VOLKSBANK FREIBURG EG
Address of branch: 10, BIRMARCKALLEE FREIBURG IM BREISGAU, Germany
Full name of the account holder: ICLEI EUROPEAN SECRETARIAT GMBH
Full account number (including bank codes):
IBAN code: DE39680900000012548702

21.9 Costs of payment transfers

The cost of the payment transfers is borne as follows:

- the *Agency* bears the cost of transfers charged by its bank;
- the beneficiary bears the cost of transfers charged by its bank;
- the party causing a repetition of a transfer bears all costs of the repeated transfer.

21.10 Date of payment

Payments by the *Agency* are considered to have been carried out on the date when they are debited to its account.

21.11 Consequences of non-compliance

21.11.1 If the *Agency* does not pay within the payment deadlines (see above), the beneficiaries are entitled to **late-payment interest** at the rate applied by the European Central Bank (ECB) for its main

refinancing operations in euros ('reference rate'), plus three and a half points. The reference rate is the rate in force on the first day of the month in which the payment deadline expires, as published in the C series of the *Official Journal of the European Union*.

If the late-payment interest is lower than or equal to EUR 200, it will be paid to the coordinator only upon request submitted within two months of receiving the late payment.

Late-payment interest is not due if all beneficiaries are EU Member States (including regional and local government authorities or other public bodies acting on behalf of a Member State for the purpose of this Agreement).

Suspension of the payment deadline or payments (see Articles 47 and 48) will not be considered as late payment.

Late-payment interest covers the period running from the day following the due date for payment (see above), up to and including the date of payment.

Late-payment interest is not considered for the purposes of calculating the final grant amount.

21.11.2 If the coordinator breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or the participation of the coordinator may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS

22.1 Checks, reviews and audits by the *Agency and the Commission*

22.1.1 Right to carry out checks

The *Agency or the Commission* will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports.

For this purpose the *Agency or the Commission* may be assisted by external persons or bodies.

The *Agency or the Commission* may also request additional information in accordance with Article 17. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

22.1.2 Right to carry out reviews

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a ‘**review report**’ will be drawn up.

The *Agency or the Commission* will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations (‘**contradictory review procedure**’).

Reviews (including review reports) are in the language of the Agreement.

22.1.3 Right to carry out audits

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a '**draft audit report**' will be drawn up.

The *Agency or the Commission* will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory audit procedure**'). This period may be extended by the *Agency or the Commission* in justified cases.

The '**final audit report**' will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The *Agency or the Commission* may also access the beneficiaries' statutory records for the periodical assessment of unit costs or flat-rate amounts.

22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013¹⁵ and No 2185/96¹⁶ (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012¹⁷, the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits.

The ECA has the right of access for the purpose of checks and audits.

¹⁵ Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18.09.2013, p. 1).

¹⁶ Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15.11.1996, p. 2).

¹⁷ Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1).

22.4 Checks, reviews, audits and investigations for international organisations

Not applicable

22.5 Consequences of findings in checks, reviews, audits and investigations — Extension of findings

22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (**‘extension of findings from this grant to other grants’**).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

22.5.2 Findings in other grants

The *Agency or the Commission* may extend findings from other grants to this grant (**‘extension of findings from other grants to this grant’**), if:

- (a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and
- (b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

22.5.3 Procedure

The *Agency or the Commission* will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.

22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings;

- (b) the request to submit **revised financial statements** for all grants affected;
- (c) the **correction rate for extrapolation** established by the *Agency or the Commission* on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:
 - (i) considers that the submission of revised financial statements is not possible or practicable or
 - (ii) does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the *Agency or the Commission* in justified cases.

The amounts to be rejected will be determined on the basis of the revised financial statements, subject to their approval.

If the *Agency or the Commission* does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements, it will formally notify the beneficiary concerned the application of the initially notified correction rate for extrapolation.

If the *Agency or the Commission* accepts the alternative correction method proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative correction method.

22.5.3.2 If the findings concern **improper implementation** or a **breach of another obligation**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings and
- (b) the flat-rate the *Agency or the Commission* intends to apply according to the principle of proportionality.

The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.

If the *Agency or the Commission* does not receive any observations or does not accept the observations or the proposed alternative flat-rate, it will formally notify the beneficiary concerned the application of the initially notified flat-rate.

If the *Agency or the Commission* accepts the alternative flat-rate proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative flat-rate.

22.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION

23.1 Right to evaluate the impact of the action

The *Agency or the Commission* may carry out interim and final evaluations of the impact of the action measured against the objective of the *EU* programme.

Evaluations may be started during implementation of the action and up to *five* years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries.

The *Agency or the Commission* may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

23.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the *Agency* may apply the measures described in Chapter 6.

SECTION 3 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS

SUBSECTION 1 GENERAL

ARTICLE 23a — MANAGEMENT OF INTELLECTUAL PROPERTY

23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities

Beneficiaries that are universities or other public research organisations must take measures to implement the principles set out in Points 1 and 2 of the Code of Practice annexed to the Commission Recommendation on the management of intellectual property in knowledge transfer activities¹⁸.

This does not change the obligations set out in Subsections 2 and 3 of this Section.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

23a.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

¹⁸ Commission Recommendation C (2008) 1329 of 10.4.2008 on the management of intellectual property in knowledge transfer activities and the Code of Practice for universities and other public research institutions attached to this recommendation.

SUBSECTION 2 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND

ARTICLE 24 — AGREEMENT ON BACKGROUND

24.1 Agreement on background

The beneficiaries must identify and agree (in writing) on the background for the action (**‘agreement on background’**).

‘Background’ means any data, know-how or information — whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights — that:

- (a) is held by the beneficiaries before they acceded to the Agreement, and
- (b) is needed to implement the action or exploit the results.

24.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 25 — ACCESS RIGHTS TO BACKGROUND

25.1 Exercise of access rights — Waiving of access rights — No sub-licensing

To exercise access rights, this must first be requested in writing (**‘request for access’**).

‘Access rights’ means rights to use results or background under the terms and conditions laid down in this Agreement.

Waivers of access rights are not valid unless in writing.

Unless agreed otherwise, access rights do not include the right to sub-license.

25.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has — before acceding to the Agreement —:

- (a) informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel), or
- (b) agreed with the other beneficiaries that access would not be on a royalty-free basis.

25.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other access — under fair and reasonable conditions — to background needed for exploiting their own results, unless the beneficiary that holds the background has — before acceding to the Agreement — informed the other beneficiaries that access to its

background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel).

‘Fair and reasonable conditions’ means appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

25.4 Access rights for affiliated entities

Unless otherwise agreed in the consortium agreement, access to background must also be given — under fair and reasonable conditions (see above; Article 25.3) and unless it is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel) — to affiliated entities¹⁹ established in an EU Member State or **‘associated country’**²⁰, if this is needed to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 25.1), the affiliated entity concerned must make the request directly to the beneficiary that holds the background.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

25.5 Access rights for third parties

Not applicable

25.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

¹⁹ For the definition, see Article 2.1(2) of the Rules for Participation Regulation No 1290/2013: **‘affiliated entity’** means any legal entity that is under the direct or indirect control of a participant, or under the same direct or indirect control as the participant, or that is directly or indirectly controlling a participant.

‘Control’ may take any of the following forms:

- (a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

However the following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

²⁰ For the definition, see Article 2.1(3) of the Rules for Participation Regulation No 1290/2013: **‘associated country’** means a third country which is party to an international agreement with the Union, as identified in *Article 7 of Horizon 2020 Framework Programme Regulation No 1291/2013. Article 7 sets out the conditions for association of non-EU countries to Horizon 2020.*

SUBSECTION 3 RIGHTS AND OBLIGATIONS RELATED TO RESULTS

ARTICLE 26 — OWNERSHIP OF RESULTS

26.1 Ownership by the beneficiary that generates the results

Results are owned by the beneficiary that generates them.

‘**Results**’ means any (tangible or intangible) output of the action such as data, knowledge or information — whatever its form or nature, whether it can be protected or not — that is generated in the action, as well as any rights attached to it, including intellectual property rights.

26.2 Joint ownership by several beneficiaries

Two or more beneficiaries own results jointly if:

- (a) they have jointly generated them and
- (b) it is not possible to:
 - (i) establish the respective contribution of each beneficiary, or
 - (ii) separate them for the purpose of applying for, obtaining or maintaining their protection (see Article 27).

The joint owners must agree (in writing) on the allocation and terms of exercise of their joint ownership (**‘joint ownership agreement’**), to ensure compliance with their obligations under this Agreement.

Unless otherwise agreed in the joint ownership agreement, each joint owner may grant non-exclusive licences to third parties to exploit jointly-owned results (without any right to sub-license), if the other joint owners are given:

- (a) at least 45 days advance notice and
- (b) fair and reasonable compensation.

Once the results have been generated, joint owners may agree (in writing) to apply another regime than joint ownership (such as, for instance, transfer to a single owner (see Article 30) with access rights for the others).

26.3 Rights of third parties (including personnel)

If third parties (including personnel) may claim rights to the results, the beneficiary concerned must ensure that it complies with its obligations under the Agreement.

If a third party generates results, the beneficiary concerned must obtain all necessary rights (transfer, licences or other) from the third party, in order to be able to respect its obligations as if those results were generated by the beneficiary itself.

If obtaining the rights is impossible, the beneficiary must refrain from using the third party to generate the results.

26.4 Agency ownership, to protect results

26.4.1 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to disseminate its results without protecting them, except in any of the following cases:

- (a) the lack of protection is because protecting the results is not possible, reasonable or justified (given the circumstances);
- (b) the lack of protection is because there is a lack of potential for commercial or industrial exploitation, or
- (c) the beneficiary intends to transfer the results to another beneficiary or third party established in an EU Member State or associated country, which will protect them.

Before the results are disseminated and unless any of the cases above under Points (a), (b) or (c) applies, the beneficiary must formally notify the *Agency* and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

No dissemination relating to these results may before the end of this period or, if the *Agency* takes a positive decision, until it has taken the necessary steps to protect the results.

26.4.2 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to stop protecting them or not to seek an extension of protection, except in any of the following cases:

- (a) the protection is stopped because of a lack of potential for commercial or industrial exploitation;
- (b) an extension would not be justified given the circumstances.

A beneficiary that intends to stop protecting results or not seek an extension must — unless any of the cases above under Points (a) or (b) applies — formally notify the *Agency* at least 60 days before the protection lapses or its extension is no longer possible and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

26.5 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to the any of the other measures described in Chapter 6.

ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING

27.1 Obligation to protect the results

Each beneficiary must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

- (a) the results can reasonably be expected to be commercially or industrially exploited and
- (b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own legitimate interests and the legitimate interests (especially commercial) of the other beneficiaries.

27.2 Agency ownership, to protect the results

If a beneficiary intends not to protect its results, to stop protecting them or not seek an extension of protection, *the Agency* may — under certain conditions (see Article 26.4) — assume ownership to ensure their (continued) protection.

27.3 Information on EU funding

Applications for protection of results (including patent applications) filed by or on behalf of a beneficiary must — unless the *Agency* requests or agrees otherwise or unless it is impossible — include the following:

“The project leading to this application has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 690669”.

27.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

ARTICLE 28 — EXPLOITATION OF RESULTS

28.1 Obligation to exploit the results

Each beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure ‘**exploitation**’ of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30) by:

- (a) using them in further research activities (outside the action);
- (b) developing, creating or marketing a product or process;
- (c) creating and providing a service, or
- (d) using them in standardisation activities.

This does not change the security obligations in Article 37, which still apply.

28.2 Results that could contribute to European or international standards — Information on EU funding

If results are incorporated in a standard, the beneficiary concerned must — unless the *Agency* requests or agrees otherwise or unless it is impossible — ask the standardisation body to include the following statement in (information related to) the standard:

“Results incorporated in this standard received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 690669”.

28.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced in accordance with Article 43.

Such a breach may also lead to any of the other measures described in Chapter 6.

ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING

29.1 Obligation to disseminate results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘**disseminate**’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the *Agency* before dissemination takes place.

29.2 Open access to scientific publications

Each beneficiary must ensure open access (free of charge online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

- (a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

- (b) ensure open access to the deposited publication — via the repository — at the latest:
- (i) on publication, if an electronic version is available for free via the publisher, or
 - (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- (c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

The bibliographic metadata must be in a standard format and must include all of the following:

- the terms “*European Union (EU)*” and “*Horizon 2020*”;
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

29.3 Open access to research data

Not applicable

29.4 Information on EU funding — Obligation and right to use the EU emblem

Unless the *Agency* requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

- (a) display the EU emblem and
- (b) include the following text:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 690669”.

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

29.5 Disclaimer excluding *Agency* responsibility

Any dissemination of results must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

29.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS

30.1 Transfer of ownership

Each beneficiary may transfer ownership of its results.

It must however ensure that its obligations under Articles 26.2, 26.4, 27, 28, 29, 30 and 31 also apply to the new owner and that this owner has the obligation to pass them on in any subsequent transfer.

This does not change the security obligations in Article 37, which still apply.

Unless agreed otherwise (in writing) for specifically-identified third parties or unless impossible under applicable EU and national laws on mergers and acquisitions, a beneficiary that intends to transfer ownership of results must give at least 45 days advance notice (or less if agreed in writing) to the other beneficiaries that still have (or still may request) access rights to the results. This notification must include sufficient information on the new owner to enable any beneficiary concerned to assess the effects on its access rights.

Unless agreed otherwise (in writing) for specifically-identified third parties, any other beneficiary may object within 30 days of receiving notification (or less if agreed in writing), if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

30.2 Granting licenses

Each beneficiary may grant licences to its results (or otherwise give the right to exploit them), if:

- (a) this does not impede the rights under Article 31 and
- (b) *not applicable*.

In addition to Points (a) and (b), exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights (see Article 31.1).

This does not change the dissemination obligations in Article 29 or security obligations in Article 37, which still apply.

30.3 *Agency* right to object to transfers or licensing

Not applicable

30.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

ARTICLE 31 — ACCESS RIGHTS TO RESULTS

31.1 Exercise of access rights — Waiving of access rights — No sub-licensing

The conditions set out in Article 25.1 apply.

The obligations set out in this Article do not change the security obligations in Article 37, which still apply.

31.2 Access rights for other beneficiaries, for implementing their own tasks under the action

The beneficiaries must give each other access — on a royalty-free basis — to results needed for implementing their own tasks under the action.

31.3 Access rights for other beneficiaries, for exploiting their own results

The beneficiaries must give each other — under fair and reasonable conditions (see Article 25.3) — access to results needed for exploiting their own results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

31.4 Access rights of affiliated entities

Unless agreed otherwise in the consortium agreement, access to results must also be given — under fair and reasonable conditions (Article 25.3) — to affiliated entities established in an EU Member State or associated country, if this is needed for those entities to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 31.1), the affiliated entity concerned must make any such request directly to the beneficiary that owns the results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

31.5 Access rights for the EU institutions, bodies, offices or agencies and EU Member States

The beneficiaries must give access to their results — on a royalty-free basis — to EU institutions, bodies, offices or agencies, for developing, implementing or monitoring EU policies or programmes.

Such access rights are limited to non-commercial and non-competitive use.

This does not change the right to use any material, document or information received from the beneficiaries for communication and publicising activities (see Article 38.2).

31.6 Access rights for third parties

Not applicable

31.7 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

SECTION 4 OTHER RIGHTS AND OBLIGATIONS

ARTICLE 32 — RECRUITMENT AND WORKING CONDITIONS FOR RESEARCHERS

32.1 Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers

The beneficiaries must take all measures to implement the principles set out in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers²², in particular regarding:

- working conditions;
- transparent recruitment processes based on merit, and
- career development.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

32.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

ARTICLE 33 — GENDER EQUALITY

33.1 Obligation to aim for gender equality

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

33.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

²² Commission Recommendation 2005/251/EC of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.3.2005, p. 67).

ARTICLE 34 — ETHICS

34.1 Obligation to comply with ethical principles

The beneficiaries must carry out the action in compliance with:

- (a) ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity²³ — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and
- (b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States.

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

- (a) aim at human cloning for reproductive purposes;
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the ‘**ethics requirements**’ set out in Annex 1.

Before the beginning of an activity raising an ethical issue, the coordinator must submit (see Article 52) to the *Agency* copy of:

- (a) any ethics committee opinion required under national law and
- (b) any notification or authorisation for activities raising ethical issues required under national law.

If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

If these documents are specifically requested for the action, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all the submitted documents cover the action tasks.

²³ The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.

http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf

34.3 Activities involving human embryos or human embryonic stem cells

Activities involving research on human embryos or human embryonic stem cells may be carried out only if:

- they are set out in Annex 1 or
- the coordinator has obtained explicit approval (in writing) from the *Agency* (see Article 52).

34.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 35 — CONFLICT OF INTERESTS

35.1 Obligation to avoid a conflict of interests

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (**‘conflict of interests’**).

They must formally notify to the *Agency* without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The *Agency* may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 36 — CONFIDENTIALITY

36.1 General obligation to maintain confidentiality

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (**‘confidential information’**).

If a beneficiary requests, the *Agency* may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is confirmed in writing within 15 days of the oral disclosure.

Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

- (a) need to know to implement the Agreement and
- (b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The *Agency* may disclose confidential information to its staff, other EU institutions and bodies or third parties, if:

- (a) this is necessary to implement the Agreement or safeguard the EU's financial interests and
- (b) the recipients of the information are bound by an obligation of confidentiality.

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/2013²⁴, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

- (a) the disclosing party agrees to release the other party;
- (b) the information was already known by the recipient or is given to him without obligation of confidentiality by a third party that was not bound by any obligation of confidentiality;
- (c) the recipient proves that the information was developed without the use of confidential information;
- (d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or
- (e) the disclosure of the information is required by EU or national law.

36.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

²⁴ Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).

ARTICLE 37 — SECURITY-RELATED OBLIGATIONS

37.1 Results with a security recommendation

Not applicable

37.2 Classified results

Not applicable

37.3 Activities involving dual-use goods or dangerous materials and substances

Not applicable

37.4 Consequences of non-compliance

Not applicable

ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING

38.1 Communication activities by beneficiaries

38.1.1 Obligation to promote the action and its results

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the *Agency* (see Article 52).

38.1.2 Information on EU funding — Obligation and right to use the EU emblem

Unless the *Agency* requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

(a) display the EU emblem and

(b) include the following text:

For communication activities: *“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 690669”.*

For infrastructure, equipment and major results: *“This [infrastructure][equipment][insert type of result] is part of a project that has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 690669”.*

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

38.1.3 Disclaimer excluding *Agency* responsibility

Any communication activity related to the action must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

38.2 Communication activities by the *Agency*

38.2.1 Right to use beneficiaries' materials, documents or information

The *Agency* may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and public deliverables as well as any other material, such as pictures or audio-visual material that it receives from any beneficiary (including in electronic form).

This does not change the confidentiality obligations in Article 36 and the security obligations in Article 37, all of which still apply.

However, if the *Agency's* use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the *Agency* not to use it (see Article 52).

The right to use a beneficiary's materials, documents and information includes:

- (a) **use for its own purposes** (in particular, making them available to persons working for the *Agency* or any other EU institution, body, office or agency or body or institutions in EU Member States; and copying or reproducing them in whole or in part, in unlimited numbers);
- (b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- (c) **editing or redrafting** for communication and publicising activities (including shortening, summarising, inserting other elements (such as meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);
- (d) **translation**;
- (e) giving **access in response to individual requests** under Regulation No 1049/2001²⁵, without the right to reproduce or exploit;

²⁵ Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents, OJ L 145, 31.5.2001, p. 43.

- (f) **storage** in paper, electronic or other form;
- (g) **archiving**, in line with applicable document-management rules, and
- (h) the right to authorise **third parties** to act on its behalf or sub-license the modes of use set out in Points (b),(c),(d) and (f) to third parties if needed for the communication and publicising activities of the *Agency*.

If the right of use is subject to rights of a third party (including personnel of the beneficiary), the beneficiary must ensure that it complies with its obligations under this Agreement (in particular, by obtaining the necessary approval from the third parties concerned).

Where applicable (and if provided by the beneficiaries), the *Agency* will insert the following information:

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the *Innovation and Networks Executive Agency (INEA)* under conditions.”

38.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 39 — PROCESSING OF PERSONAL DATA

39.1 Processing of personal data by the *Agency and the Commission*

Any personal data under the Agreement will be processed by the *Agency or the Commission* under Regulation No 45/2001²⁶ and according to the ‘notifications of the processing operations’ to the Data Protection Officer (DPO) of the *Agency or the Commission* (publicly accessible in the DPO register).

Such data will be processed by the ‘**data controller**’ of the *Agency or the Commission* for the purposes of implementing, managing and monitoring the Agreement or protecting the financial interests of the EU or Euratom (including checks, reviews, audits and investigations; see Article 22).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their personal data to the data controller, via the contact point indicated in the ‘service specific privacy statement(s) (SSPS)’ that are published on the *Agency and the Commission* websites.

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS).

²⁶ Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.01.2001, p. 1).

39.2 Processing of personal data by the beneficiaries

The beneficiaries must process personal data under the Agreement in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The beneficiaries may grant their personnel access only to data that is strictly necessary for implementing, managing and monitoring the Agreement.

The beneficiaries must inform the personnel whose personal data are collected and processed by the *Agency or the Commission*. For this purpose, they must provide them with the service specific privacy statement (SSPS) (see above), before transmitting their data to the *Agency or the Commission*.

39.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 39.2, the *Agency* may apply any of the measures described in Chapter 6.

ARTICLE 40 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE *AGENCY*

The beneficiaries may not assign any of their claims for payment against the *Agency* to any third party, except if approved by the *Agency* on the basis of a reasoned, written request by the coordinator (on behalf of the beneficiary concerned).

If the *Agency* has not accepted the assignment or the terms of it are not observed, the assignment will have no effect on it.

In no circumstances will an assignment release the beneficiaries from their obligations towards the *Agency*.

CHAPTER 5 DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES

ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES — RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES — RELATIONSHIP WITH PARTNERS OF A JOINT ACTION

41.1 Roles and responsibilities towards the *Agency*

The beneficiaries have full responsibility for implementing the action and complying with the Agreement.

The beneficiaries are jointly and severally liable for the **technical implementation** of the action as described in Annex 1. If a beneficiary fails to implement its part of the action, the other beneficiaries become responsible for implementing this part (without being entitled to any additional EU funding for doing so), unless the *Agency* expressly relieves them of this obligation.

The **financial responsibility** of each beneficiary is governed by Articles 44, 45 and 46.

41.2 Internal division of roles and responsibilities

The internal roles and responsibilities of the beneficiaries are divided as follows:

(a) Each **beneficiary** must:

- (i) keep information stored in the 'Beneficiary Register' (via the electronic exchange system) up to date (see Article 17);
- (ii) inform the coordinator immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 17);
- (iii) submit to the coordinator in good time:
 - individual financial statements for itself and, if required, certificates on the financial statements (see Article 20);
 - the data needed to draw up the technical reports (see Article 20);
 - ethics committee opinions and notifications or authorisations for activities raising ethical issues (see Article 34);
 - any other documents or information required by the *Agency or the Commission* under the Agreement, unless the Agreement requires the beneficiary to submit this information directly to the *Agency or the Commission*.

(b) The **coordinator** must:

- (i) monitor that the action is implemented properly (see Article 7);
- (ii) act as the intermediary for all communications between the beneficiaries and the *Agency* (in particular, providing the *Agency* with the information described in Article 17), unless the Agreement specifies otherwise;
- (iii) request and review any documents or information required by the *Agency* and verify their completeness and correctness before passing them on to the *Agency*;
- (iv) submit the deliverables and reports to the *Agency* (see Articles 19 and 20);
- (v) ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 21);
- (vi) inform the *Agency* of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50) or requested by the *Agency*.

The coordinator may not delegate the above-mentioned tasks to any other beneficiary or subcontract them to any third party.

41.3 Internal arrangements between beneficiaries — Consortium agreement

The beneficiaries must have internal arrangements regarding their operation and co-ordination to ensure that the action is implemented properly. These internal arrangements must be set out in a written 'consortium agreement' between the beneficiaries, which may cover:

- *internal organisation of the consortium;*
- *management of access to the electronic exchange system;*
- *distribution of EU funding;*
- *additional rules on rights and obligations related to background and results (including whether access rights remain or not, if a beneficiary is in breach of its obligations) (see Section 3 of Chapter 4);*
- *settlement of internal disputes;*
- *liability, indemnification and confidentiality arrangements between the beneficiaries.*

The consortium agreement must not contain any provision contrary to the Agreement.

41.4 Relationship with complementary beneficiaries — Collaboration agreement

Not applicable

41.5 Relationship with partners of a joint action — Coordination agreement

Not applicable

CHAPTER 6 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES — DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE

SECTION 1 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES

ARTICLE 42 — REJECTION OF INELIGIBLE COSTS

42.1 Conditions

42.1.1 The *Agency* will — at the time of an **interim payment**, **at the payment of the balance** or **afterwards** — reject any costs which are ineligible (see Article 6), in particular following checks, reviews, audits or investigations (see Article 22).

42.1.2 The rejection may also be based on the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

42.2 Ineligible costs to be rejected — Calculation — Procedure

Ineligible costs will be rejected in full.

If the *Agency* rejects costs **without reduction of the grant** (see Article 43) or **recovery of undue amounts** (see Article 44), it will formally notify the coordinator or beneficiary concerned the rejection of costs, the amounts and the reasons why (if applicable, together with the notification of amounts

due; see Article 21.5). The coordinator or beneficiary concerned may — within 30 days of receiving notification — formally notify the *Agency* of its disagreement and the reasons why.

If the *Agency* rejects costs **with reduction of the grant or recovery of undue amounts**, it will formally notify the rejection in the ‘**pre-information letter**’ on reduction or recovery set out in Articles 43 and 44.

42.3 Effects

If the *Agency* rejects costs at the time of an **interim payment or the payment of the balance**, it will deduct them from the total eligible costs declared, for the action, in the periodic or final summary financial statement (see Articles 20.3 and 20.4). It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* — **after an interim payment but before the payment of the balance** — rejects costs declared in a periodic summary financial statement, it will deduct them from the total eligible costs declared, for the action, in the next periodic summary financial statement or in the final summary financial statement. It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* rejects costs **after the payment of the balance**, it will deduct the amount rejected from the total eligible costs declared, by the beneficiary, in the final summary financial statement. It will then calculate the revised final grant amount as set out in Article 5.4.

ARTICLE 43 — REDUCTION OF THE GRANT

43.1 Conditions

43.1.1 The *Agency* may — **at the payment of the balance or afterwards** — reduce the maximum grant amount (see Article 5.1), if the action has not been implemented properly as described in Annex 1 or another obligation under the Agreement has been breached.

43.1.2 The *Agency* may also reduce the maximum grant amount on the basis of the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

43.2 Amount to be reduced — Calculation — Procedure

The amount of the reduction will be proportionate to the improper implementation of the action or to the seriousness of the breach.

Before reduction of the grant, the *Agency* will formally notify a ‘**pre-information letter**’ to the coordinator or beneficiary concerned:

- informing it of its intention to reduce the grant, the amount it intends to reduce and the reasons why and
- inviting it to submit observations within 30 days of receiving notification

If the *Agency* does not receive any observations or decides to pursue reduction despite the observations it has received, it will formally notify **confirmation** of the reduction (if applicable, together with the notification of amounts due; see Article 21).

43.3 Effects

If the *Agency* reduces the grant at the time of **the payment of the balance**, it will calculate the reduced grant amount for the action and then determine the amount due as payment of the balance (see Articles 5.3.4 and 21.4).

If the *Agency* reduces the grant **after the payment of the balance**, it will calculate the revised final grant amount for the beneficiary concerned (see Article 5.4). If the revised final grant amount for the beneficiary concerned is lower than its share of the final grant amount, the *Agency* will recover the difference (see Article 44).

ARTICLE 44 — RECOVERY OF UNDUE AMOUNTS

44.1 Amount to be recovered — Calculation — Procedure

The *Agency* will — after **termination of the participation of a beneficiary, at the payment of the balance or afterwards** — claim back any amount that was paid but is not due under the Agreement.

Each beneficiary's financial responsibility in case of recovery is limited to its own debt, except for the amount retained for the Guarantee Fund (see Article 21.4).

44.1.1 Recovery after termination of a beneficiary's participation

If recovery takes place after termination of a beneficiary's participation (including the coordinator), the *Agency* will claim back the undue amount from the beneficiary concerned, by formally notifying it a debit note (see Article 50.2 and 50.3). This note will specify the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency, the Commission* or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) *not applicable*;

- (c) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial regulation No 966/2012.

If payment is not made by the date specified in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC²⁷ applies.

44.1.2 Recovery at payment of the balance

If the payment of the balance takes the form of a recovery (see Article 21.4), the *Agency* will formally notify a '**pre-information letter**' to the coordinator:

- informing it of its intention to recover, the amount due as the balance and the reasons why;
- specifying that it intends to deduct the amount to be recovered from the amount retained for the Guarantee Fund;
- requesting the coordinator to submit a report on the distribution of payments to the beneficiaries within 30 days of receiving notification, and
- inviting the coordinator to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm recovery** (together with the notification of amounts due; see Article 21.5) and:

- pay the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is positive** or
- formally notify to the coordinator a **debit note** for the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is negative**. This note will also specify the terms and the date for payment.

If the coordinator does not repay the *Agency* by the date in the debit note and has not submitted the report on the distribution of payments: the *Agency or the Commission* will **recover** the amount set out in the debit note from the coordinator (see below).

If the coordinator does not repay the *Agency* by the date in the debit note, but has submitted the report on the distribution of payments: the *Agency* will:

- (a) identify the beneficiaries for which the amount calculated as follows is negative:

$\{ \{ \{ \text{beneficiary's costs declared in the final summary financial statement and approved by the } \}$
Agency multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}

divided by

the EU contribution for the action calculated according to Article 5.3.1}

multiplied by

the final grant amount (see Article 5.3)},

²⁷ Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC (OJ L 319, 05.12.2007, p. 1).

minus

{pre-financing and interim payments received by the beneficiary}}.

- (b) formally notify to each beneficiary identified according to point (a) a **debit note** specifying the terms and date for payment. The amount of the debit note is calculated as follows:

{ {amount calculated according to point (a) for the beneficiary concerned

divided by

the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)}

multiplied by

the amount set out in the debit note formally notified to the coordinator}.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) *not applicable*;

(ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

44.1.3 Recovery of amounts after payment of the balance

If, for a beneficiary, the revised final grant amount (see Article 5.4) is lower than its share of the final grant amount, it must repay the difference to the *Agency*.

The beneficiary's share of the final grant amount is calculated as follows:

{ {beneficiary's costs declared in the final summary financial statement and approved by the *Agency* multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}

divided by

the EU contribution for the action calculated according to Article 5.3.1 }

multiplied by

the final grant amount (see Article 5.3)}.

If the coordinator has not distributed amounts received (see Article 21.7), the *Agency* will also recover these amounts.

The *Agency* will formally notify a **pre-information letter** to the beneficiary concerned:

- informing it of its intention to recover, the due amount and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm** the amount to be recovered and formally notify to the beneficiary concerned a **debit note**. This note will also specify the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) *not applicable*;

- (ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the date for payment in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

ARTICLE 45 — ADMINISTRATIVE AND FINANCIAL PENALTIES

45.1 Conditions

Under Articles 109 and 131(4) of the Financial Regulation No 966/2012, the *Agency* may impose **administrative** and **financial penalties** if a beneficiary:

- (a) has committed substantial errors, irregularities or fraud or is in serious breach of its obligations under the Agreement or
- (b) has made false declarations about information required under the Agreement or for the submission of the proposal (or has not supplied such information).

Each beneficiary is responsible for paying the financial penalties imposed on it.

Under Article 109(3) of the Financial Regulation No 966/2012, the *Agency or the Commission* may — under certain conditions and limits — publish decisions imposing administrative or financial penalties.

45.2 Duration — Amount of penalty — Calculation

Administrative penalties exclude the beneficiary from all contracts and grants financed from the EU or Euratom budget for a maximum of five years from the date the infringement is established by the *Agency*.

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may extend the exclusion period up to 10 years.

Financial penalties will be between 2% and 10% of the maximum EU contribution indicated, for the beneficiary concerned, in the estimated budget (see Annex 2).

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may increase the rate of financial penalties to between 4% and 20%.

45.3 Procedure

Before applying a penalty, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to impose a penalty, its duration or amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to impose the penalty despite of observations it has received, it will formally notify **confirmation** of the penalty to the beneficiary concerned and — in case of financial penalties — deduct the penalty from the payment of the balance or formally notify a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency, the Commission* or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

SECTION 2 LIABILITY FOR DAMAGES

ARTICLE 46 — LIABILITY FOR DAMAGES

46.1 Liability of the *Agency*

The *Agency* cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The *Agency* cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

46.2 Liability of the beneficiaries

46.2.1 Conditions

Except in case of force majeure (see Article 51), the beneficiaries must compensate the *Agency* for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

Each beneficiary is responsible for paying the damages claimed from it.

46.2.2 Amount of damages - Calculation

The amount the *Agency* can claim from a beneficiary will correspond to the damage caused by that beneficiary.

46.2.3 Procedure

Before claiming damages, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to claim damages, the amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to claim damages despite the observations it has received, it will formally notify **confirmation** of the claim for damages and a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

SECTION 3 SUSPENSION AND TERMINATION

ARTICLE 47 — SUSPENSION OF PAYMENT DEADLINE

47.1 Conditions

The *Agency* may — at any moment — suspend the payment deadline (see Article 21.2 to 21.4) if a request for payment (see Article 20) cannot be approved because:

- (a) it does not comply with the provisions of the Agreement (see Article 20);
- (b) the technical reports or financial reports have not been submitted or are not complete or additional information is needed, or

- (c) there is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.

47.2 Procedure

The *Agency* will formally notify the coordinator of the suspension and the reasons why.

The suspension will **take effect** the day notification is sent by the *Agency* (see Article 52).

If the conditions for suspending the payment deadline are no longer met, the suspension will be **lifted** — and the remaining period will resume.

If the suspension exceeds two months, the coordinator may request the *Agency* if the suspension will continue.

If the payment deadline has been suspended due to the non-compliance of the technical or financial reports (see Article 20) and the revised report or statement is not submitted or was submitted but is also rejected, the *Agency* may also terminate the Agreement or the participation of the beneficiary (see Article 50.3.1(l)).

ARTICLE 48 — SUSPENSION OF PAYMENTS

48.1 Conditions

The *Agency* may — at any moment — suspend, in whole or in part, the pre-financing payment and interim payments for one or more beneficiaries or the payment of the balance for all beneficiaries, if a beneficiary:

- (a) has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement or
- (b) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2).

48.2 Procedure

Before suspending payments, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend payments and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the suspension procedure is not continued.

The suspension will **take effect** the day the confirmation notification is sent by the *Agency*.

If the conditions for resuming payments are met, the suspension will be **lifted**. The *Agency* will formally notify the coordinator.

During the suspension, the periodic report(s) (see Article 20.3) must not contain any individual financial statements from the beneficiary concerned. When the *Agency* resumes payments, the coordinator may include them in the next periodic report.

The beneficiaries may suspend implementation of the action (see Article 49.1) or terminate the Agreement or the participation of the beneficiary concerned (see Article 50.1 and 50.2).

ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION

49.1 Suspension of the action implementation, by the beneficiaries

49.1.1 Conditions

The beneficiaries may suspend implementation of the action or any part of it, if exceptional circumstances — in particular *force majeure* (see Article 51) — make implementation impossible or excessively difficult.

49.1.2 Procedure

The coordinator must immediately formally notify to the *Agency* the suspension (see Article 52), stating:

- the reasons why and
- the expected date of resumption.

The suspension will **take effect** the day this notification is received by the *Agency*.

Once circumstances allow for implementation to resume, the coordinator must immediately formally notify the *Agency* and request an **amendment** of the Agreement to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement or the participation of a beneficiary has been terminated (see Article 50).

The suspension will be **lifted** with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension of the action implementation are not eligible (see Article 6).

49.2 Suspension of the action implementation, by the *Agency*

49.2.1 Conditions

The *Agency* may suspend implementation of the action or any part of it:

- (a) if a beneficiary has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement;
- (b) if a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations

that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2), or

(c) if the action is suspected of having lost its scientific or technological relevance.

49.2.2 Procedure

Before suspending implementation of the action, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend the implementation and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the procedure is not continued.

The suspension will **take effect** five days after confirmation notification is received by the coordinator (or on a later date specified in the notification).

It will be **lifted** if the conditions for resuming implementation of the action are met.

The coordinator will be formally notified of the lifting and the Agreement will be **amended** to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement has already been terminated (see Article 50).

The suspension will be lifted with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension are not eligible (see Article 6).

The beneficiaries may not claim damages due to suspension by the *Agency* (see Article 46).

Suspension of the action implementation does not affect the *Agency's* right to terminate the Agreement or participation of a beneficiary (see Article 50), reduce the grant or recover amounts unduly paid (see Articles 43 and 44).

ARTICLE 50 — TERMINATION OF THE AGREEMENT OR OF THE PARTICIPATION OF ONE OR MORE BENEFICIARIES

50.1 Termination of the Agreement by the beneficiaries

50.1.1 Conditions and procedure

The beneficiaries may terminate the Agreement.

The coordinator must formally notify termination to the *Agency* (see Article 52), stating:

- the reasons why and

- the date the termination will take effect. This date must be after the notification.

If no reasons are given or if the *Agency* considers the reasons do not justify termination, the Agreement will be considered to have been '**terminated improperly**'.

The termination will **take effect** on the day specified in the notification.

50.1.2 Effects

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the open reporting period until termination; see Article 20.3) and
- (ii) the final report (see Article 20.4).

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Improper termination may lead to a reduction of the grant (see Article 43).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries

50.2.1 Conditions and procedure

The participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The coordinator must formally notify termination to the *Agency* (see Article 52) and inform the beneficiary concerned.

If the coordinator's participation is terminated without its agreement, the formal notification must be done by another beneficiary (acting on behalf of the other beneficiaries).

The notification must include:

- the reasons why;
- the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing);
- the date the termination takes effect. This date must be after the notification, and
- a request for amendment (see Article 55), with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination takes effect after the

period set out in Article 3, no request for amendment must be included unless the beneficiary concerned is the coordinator. In this case, the request for amendment must propose a new coordinator.

If this information is not given or if the *Agency* considers that the reasons do not justify termination, the participation will be considered to have been **terminated improperly**.

The termination will **take effect** on the day specified in the notification.

50.2.2 Effects

The coordinator must — within 30 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned and
- (ii) if termination takes effect during the period set out in Article 3, a ‘**termination report**’ from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Articles 20.3 and 20.4).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency*, (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary’s EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
 - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a **debit note** on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
 - in all other cases (in particular if termination takes effect after the period set out in Article 3), the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due

and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);

- if the beneficiary concerned is the former coordinator, it must repay the new coordinator according to the procedure above, unless:
 - termination is after an interim payment and
 - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7).

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

Improper termination may lead to a reduction of the grant (see Article 43) or termination of the Agreement (see Article 50).

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

50.3 Termination of the Agreement or the participation of one or more beneficiaries, by the *Agency*

50.3.1 Conditions

The *Agency* may terminate the Agreement or the participation of one or more beneficiaries, if:

- (a) one or more beneficiaries do not accede to the Agreement (see Article 56);
- (b) a change to their legal, financial, technical, organisational or ownership situation is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant;
- (c) following termination of participation for one or more beneficiaries (see above), the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants (see Article 55);

- (d) implementation of the action is prevented by force majeure (see Article 51) or suspended by the coordinator (see Article 49.1) and either:
 - (i) resumption is impossible, or
 - (ii) the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants;
- (e) a beneficiary is declared bankrupt, being wound up, having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, or is subject to any other similar proceedings or procedures under national law;
- (f) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has been found guilty of professional misconduct, proven by any means;
- (g) a beneficiary does not comply with the applicable national law on taxes and social security;
- (h) the action has lost scientific or technological relevance;
- (i) *not applicable*;
- (j) *not applicable*;
- (k) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed fraud, corruption, or is involved in a criminal organisation, money laundering or any other illegal activity affecting the EU's financial interests;
- (l) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has — in the award procedure or under the Agreement — committed:
 - (i) substantial errors, irregularities, fraud or
 - (ii) serious breach of obligations, including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles;
- (m) a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**'extension of findings from other grants to this grant'**).

50.3.2 Procedure

Before terminating the Agreement or participation of one or more beneficiaries, the *Agency* will formally notify the coordinator:

- informing it of its intention to terminate and the reasons why and
- inviting it, within 30 days of receiving notification, to submit observations and — in case of Point (l.ii) above — to inform the *Agency* of the measures to ensure compliance with the obligations under the Agreement.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify to the coordinator **confirmation** of the termination and the date it will take effect. Otherwise, it will formally notify that the procedure is not continued.

The termination will **take effect**:

- for terminations under Points (b), (c), (e), (g), (h), (j), and (l.ii) above: on the day specified in the notification of the confirmation (see above);
- for terminations under Points (a), (d), (f), (i), (k), (l.i) and (m) above: on the day after the notification of the confirmation is received by the coordinator.

50.3.3 Effects

(a) for **termination of the Agreement**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the last open reporting period until termination; see Article 20.3) and
- (ii) a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit the reports (see Articles 20.8 and 50.3.1(l)), the coordinator may not submit any reports after termination.

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

This does not affect the *Agency's* right to reduce the grant (see Article 43) or to impose administrative and financial penalties (Article 45).

The beneficiaries may not claim damages due to termination by the *Agency* (see Article 46).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

(b) for **termination of the participation of one or more beneficiaries**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned;
- (ii) a request for amendment (see Article 55), with a proposal for reallocation of the tasks and estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination is notified

after the period set out in Article 3, no request for amendment must be submitted unless the beneficiary concerned is the coordinator. In this case the request for amendment must propose a new coordinator, and

- (iii) if termination takes effect during the period set out in Article 3, a **termination report** from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Article 20).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency* (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
 - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
 - in all other cases, in particular if termination takes effect after the period set out in Article 3, the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
 - if the beneficiary concerned is the former coordinator, it must repay the new coordinator the amount unduly received, unless:
 - termination takes effect after an interim payment and

- the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7)

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned, and that
- the beneficiary concerned must not repay any amount to the coordinator.

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

SECTION 4 FORCE MAJEURE

ARTICLE 51 — FORCE MAJEURE

'Force majeure' means any situation or event that:

- prevents either party from fulfilling their obligations under the Agreement,
- was unforeseeable, exceptional situation and beyond the parties' control,
- was not due to error or negligence on their part (or on the part of third parties involved in the action), and
- proves to be inevitable in spite of exercising all due diligence.

The following cannot be invoked as force majeure:

- any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of force majeure,
- labour disputes or strikes, or
- financial difficulties.

Any situation constituting force majeure must be formally notified to the other party without delay, stating the nature, likely duration and foreseeable effects.

The parties must immediately take all the necessary steps to limit any damage due to force majeure and do their best to resume implementation of the action as soon as possible.

The party prevented by force majeure from fulfilling its obligations under the Agreement cannot be considered in breach of them.

CHAPTER 7 FINAL PROVISIONS

ARTICLE 52 — COMMUNICATION BETWEEN THE PARTIES

52.1 Form and means of communication

Communication under the Agreement (information, requests, submissions, ‘formal notifications’, etc.) must:

- be made in writing and
- bear the number of the Agreement.

Until the payment of the balance: all communication must be made through the electronic exchange system and using the forms and templates provided there.

After the payment of the balance: formal notifications must be made by registered post with proof of delivery (‘formal notification on paper’).

Communications in the electronic exchange system must be made by persons authorised according to the ‘Terms and Conditions of Use of the electronic exchange system’. For naming the authorised persons, each beneficiary must have designated — before the signature of this Agreement — a ‘Legal Entity Appointed Representative (LEAR)’. The role and tasks of the LEAR are stipulated in his/her appointment letter (see Terms and Conditions of Use of the electronic exchange system).

If the electronic exchange system is temporarily unavailable, instructions will be given on the *Agency and Commission* websites.

52.2 Date of communication

Communications are considered to have been made when they are sent by the sending party (i.e. on the date and time they are sent through the electronic exchange system).

Formal notifications through the **electronic** exchange system are considered to have been made when they are received by the receiving party (i.e. on the date and time of acceptance by the receiving party, as indicated by the time stamp). A formal notification that has not been accepted within 10 days after sending is considered to have been accepted.

Formal notifications **on paper** sent by **registered post** with proof of delivery (only after the payment of the balance) are considered to have been made on either:

- the delivery date registered by the postal service or
- the deadline for collection at the post office.

If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

52.3 Addresses for communication

The **electronic** exchange system must be accessed via the following URL:

<https://ec.europa.eu/research/participants/portal/desktop/en/projects/>

The *Agency* will formally notify the coordinator and beneficiaries in advance any changes to this URL.

Formal notifications on paper (only after the payment of the balance) addressed **to the *Agency*** must be sent to the following address:

*Innovation and Networks Executive Agency
TRANSPORT RESEARCH
W910
B-1049 Brussels Belgium*

Formal notifications on paper (only after the payment of the balance) addressed **to the beneficiaries** must be sent to their legal address as specified in the 'Beneficiary Register'.

ARTICLE 53 — INTERPRETATION OF THE AGREEMENT

53.1 Precedence of the Terms and Conditions over the Annexes

The provisions in the Terms and Conditions of the Agreement take precedence over its Annexes.

Annex 2 takes precedence over Annex 1.

53.2 Privileges and immunities

Not applicable

ARTICLE 54 — CALCULATION OF PERIODS, DATES AND DEADLINES

In accordance with Regulation No 1182/71²⁸, periods expressed in days, months or years are calculated from the moment the triggering event occurs.

The day during which that event occurs is not considered as falling within the period.

ARTICLE 55 — AMENDMENTS TO THE AGREEMENT

55.1 Conditions

The Agreement may be amended, unless the amendment entails changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

²⁸ Regulation (EEC, Euratom) No 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time-limits (OJ L 124, 8.6.1971, p. 1).

Amendments may be requested by any of the parties.

55.2 Procedure

The party requesting an amendment must submit a request for amendment signed in the electronic exchange system (see Article 52).

The coordinator submits and receives requests for amendment on behalf of the beneficiaries (see Annex 3).

If a change of coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment must include:

- the reasons why;
- the appropriate supporting documents;
- for a change of coordinator without its agreement: the opinion of the coordinator (or proof that this opinion has been requested in writing).

The *Agency* may request additional information.

If the party receiving the request agrees, it must sign the amendment in the electronic exchange system within 45 days of receiving notification (or any additional information the *Agency* has requested). If it does not agree, it must formally notify its disagreement within the same deadline. The deadline may be extended, if necessary for the assessment of the request. If no notification is received within the deadline, the request is considered to have been rejected

An amendment **enters into force** on the day of the signature of the receiving party.

An amendment **takes effect** on the date agreed by the parties or, in the absence of such an agreement, on the date on which the amendment enters into force.

ARTICLE 56 — ACCESSION TO THE AGREEMENT

56.1 Accession of the beneficiaries mentioned in the Preamble

The other beneficiaries must accede to the Agreement by signing the Accession Form (see Annex 3) in the electronic exchange system (see Article 52) within 30 days after its entry into force (see Article 58).

They will assume the rights and obligations under the Agreement with effect from the date of its entry into force (see Article 58).

If a beneficiary does not accede to the Agreement within the above deadline, the coordinator must — within 30 days — request an amendment to make any changes necessary to ensure proper implementation of the action. This does not affect the *Agency's* right to terminate the Agreement (see Article 50).

56.2 Addition of new beneficiaries

In justified cases, the beneficiaries may request the addition of a new beneficiary.

For this purpose, the coordinator must submit a request for amendment in accordance with Article 55. It must include an Accession Form (see Annex 3) signed by the new beneficiary in the electronic exchange system (see Article 52).

New beneficiaries must assume the rights and obligations under the Agreement with effect from the date of their accession specified in the Accession Form (see Annex 3).

ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES

57.1 Applicable law

The Agreement is governed by the applicable EU law, supplemented if necessary by the law of Belgium.

57.2 Dispute settlement

If a dispute concerning the interpretation, application or validity of the Agreement cannot be settled amicably, the General Court — or, on appeal, the Court of Justice of the European Union — has sole jurisdiction. Such actions must be brought under Article 272 of the Treaty on the Functioning of the EU (TFEU).

If a dispute concerns administrative or financial penalties, offsetting or an enforceable decision under Article 299 TFEU (see Articles 44, 45 and 46), the beneficiaries must bring action before the General Court — or, on appeal, the Court of Justice of the European Union — under Article 263 TFEU. *Actions against enforceable decisions must be brought against the Commission (not against the Agency).*



ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT

The Agreement will enter into force on the day of signature by the *Agency* or the coordinator, depending on which is later.

SIGNATURES

For the coordinator

For the *Agency*

Wolfgang TEUBNER with ECAS id nteubnwg signed in the Participant Portal on 25/05/2016 at 17:58:27 (transaction id Sigld-103363-HsrXC5L14DWYLqziBvpGoLgb0zTfgGNKczLKuHiF3zMcqchJFKWW5K5J4J676Cn4jcnzXEGW5XKokaXQC2zSkkpm-Jj71zxYb8yryo3ZeF2hlvm-dP3O0ztGzfrWNPdyzZ2H0Zn3W05Zfr7sP14KrAWngkqO). Timestamp by third party at Wed May 25 18:58:35 CEST 2016

Signed by Dirk BECKERS with ECAS id beckedi as an authorised representative on 10-06-2016 15:40:05 (transaction id Sigld-10503-PAFa1q9bU7bLEL3zPevzwngrrtLqvclzserpRqpKcDZmJqaaFdb4xhRAIDJFMDeMVwQJ3BoH6rJr8FcwqRUgkcNm-Jj71zxYb8yrCzGM5MsUFAs-A0xNL1pWr053XgA6up2ZDDaxEvihuKWvofmlyt3Hhzp) Fri Jun 10 15:40:17 CEST 2016



EUROPEAN COMMISSION
Innovation and Networks Executive Agency
TRANSPORT RESEARCH



ANNEX 1 (part A)

Research and Innovation action

NUMBER — 690669 — SUMPs-Up

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1.1. The project summary

Project Number ¹	690669	Project Acronym ²	SUMPs-Up
One form per project			
General information			
Project title ³	European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans		
Starting date ⁴	01/09/2016		
Duration in months ⁵	42		
Call (part) identifier ⁶	H2020-MG-2015_TwoStages		
Topic	MG-5.4-2015 Strengthening the knowledge and capacities of local authorities		
Fixed EC Keywords	Urban transport		
Free keywords	Promoting take-up, city activation, European movement, tools review for SUMP planning-process and measures, peer-to-peer exchange, activity fund, comprehensive communication and outreach		
Abstract ⁷			
<p>Through SUMPs-Up, an experienced consortium of public and private organisations, including four major city networks and seven frontrunner cities, skilled in coordinating major European SUMP projects will accelerate the take-up of SUMPs, where this is currently low, ensuring that SUMP is the primary mobility planning concept in Europe. To achieve this, the project will combine comprehensive SUMP research, tailored capacity-building, strong mechanisms for technical support, as well as constant SUMP monitoring and evaluation. As a result, the project will accelerate the development of 100 SUMPs, reach out to 600 cities and will therefore engage about 80% of the EU-cities above 50,000 inhabitants. SUMPs-Up will review, strengthen and integrate existing SUMP resources, designing a support system to assist cities to develop high quality SUMPs. A SUMP Tool Inventory will help mobility planners make better informed decisions about which planning tools to apply in their local context. This will be enriched with experiences from the city partners who will be testing innovative solutions in SUMP preparation and implementation. The SUMPs Up Innovation Pilot Pool will create a mechanism that allows identifying and validating the most effective concepts, approaches and methodologies in SUMP practice for different framework conditions and different types of cities, complemented by a peer learning programme, to leverage resources and enable more cities to apply the SUMP concept. At Member State level, SUMPs-Up will foster exchange to improve national SUMP frameworks.</p> <p>Close monitoring and evaluation of the project and supported activities will show evidence of the SUMP concept's value and serve as a quality control mechanism for both project activities and the SUMPs being developed. SUMPs-Up will broadly communicate the positive impacts of SUMPs, producing and disseminating insightful reports and research. Ultimately, SUMPs-Up will stimulate a European movement of mobility planning authorities experienced in preparing and implementing SUMPs in compliance with the European requirements.</p>			

1.2. List of Beneficiaries

Project Number ¹	690669	Project Acronym ²	SUMPs-Up
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List of Beneficiaries

No	Name	Short name	Country	Project entry month ⁸	Project exit month
1	ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPA SEKRETARIAT GMBH)*	ICLEI EURO	Germany	1	42
2	POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE	POLIS	Belgium	1	42
3	CITY OF TURKU	CITY OF TURKU	Finland	1	42
4	EUROCITIES ASBL	EUROCITIES ASBL	Belgium	1	42
5	RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GMBH	RUPPRECHT	Germany	1	42
6	Trivector Traffic AB	TRIVECTOR	Sweden	1	42
7	WUPPERTAL INSTITUT FÜR KLIMA, UMWELT, ENERGIE GMBH	WI	Germany	1	42
8	CENTRE D ETUDES ET D EXPERTISE SUR LES RISQUES L ENVIRONNEMENT LA MOBILITE ET L AMENAGEMENT	Cerema	France	1	42
9	FONDAZIONE TORINO WIRELESS	TOWL	Italy	1	42
10	AYUNTAMIENTO DE DONOSTIA SAN SEBASTIAN	ADS	Spain	1	42
11	MALMO STAD	Malmö	Sweden	1	42
12	BKK BUDAPESTI KOZLEKEDESI KOZPONT ZARTKORUEN MUKODO RESZVENYTARSASAG	BKK	Hungary	1	42
13	TSENTAR ZA GRADSKA MOBILNOST EAD	SUMC	Bulgaria	1	42
14	BIRMINGHAM CITY COUNCIL	BCC	United Kingdom	1	42
15	THESSALONIKI PUBLIC TRANSPORT AUTHORITY	THEPTA	Greece	1	42

1.3. Workplan Tables - Detailed implementation

1.3.1. WT1 List of work packages

WP Number ⁹	WP Title	Lead beneficiary ¹⁰	Person-months ¹¹	Start month ¹²	End month ¹³
WP1	Identifying the needs of take-up cities	4 - EURO CITIES ASBL	17.50	1	42
WP2	Planning process support	5 - RUPPRECHT	71.00	1	42
WP3	Measure support	6 - TRIVECTOR	56.00	1	42
WP4	Learning in community	3 - CITY OF TURKU	59.00	1	42
WP5	Improving national resources and governance	8 - Cerema	22.00	1	42
WP6	SUMPs-UP Innovation Pilot Pool	2 - POLIS	26.50	1	42
WP7	Process monitoring and impact evaluation	7 - WI	22.00	1	42
WP8	Communications, dissemination and exploitation	1 - ICLEI EURO	36.00	1	42
WP9	Project management	1 - ICLEI EURO	34.50	1	42
WP10	Ethics requirements	1 - ICLEI EURO	N/A	1	42
Total			344.50		

1.3.2. WT2 list of deliverables

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D1.1	Needs Assessment Plan	WP1	4 - EUROCITIES ASBL	Report	Confidential, only for members of the consortium (including the Commission Services)	2
D1.2	User needs analysis on take up report including city profile matrix	WP1	4 - EUROCITIES ASBL	Report	Public	9
D2.1	Report on Suitability Check of SUMP Tools	WP2	5 - RUPPRECHT	Report	Public	12
D2.2	3 SUMP Guidelines	WP2	5 - RUPPRECHT	Report	Public	16
D2.3	SUMP Innovation descriptions	WP2	5 - RUPPRECHT	Report	Public	12
D2.4	SUMP Innovation Factsheets	WP2	5 - RUPPRECHT	Report	Public	36
D2.5	Update of online SUMP Guidelines	WP2	5 - RUPPRECHT	Report	Public	42
D3.1	Manuals (3x) on the integration of measures and measure packages in SUMPs	WP3	6 - TRIVECTOR	Report	Public	10
D3.2	Report "Standards for SUMP Action Plans"	WP3	6 - TRIVECTOR	Report	Public	12
D3.3	Innovative financing alternatives and procurement procedures for SUMP measures	WP3	6 - TRIVECTOR	Report	Public	42
D3.4	Factsheets on innovative measures	WP3	6 - TRIVECTOR	Report	Public	32
D4.1	3 Curricula for the ULA (one per call)	WP4	3 - CITY OF TURKU	Report	Public	28
D4.2	3 ULA reports	WP4	3 - CITY OF TURKU	Report	Public	38
D4.3	Learning concept for mobility experts	WP4	3 - CITY OF TURKU	Report	Public	4
D5.1	SUMP in Member States report	WP5	8 - Cerema	Report	Public	14
D5.2	SUMP policy paper for national decision-makers	WP5	8 - Cerema	Report	Public	26

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D5.3	Policy recommendations for at least 3 identified countries	WP5	8 - Cerema	Report	Public	36
D5.4	Support document for translating and adapting the SUMP Self-Assessment Scheme to the national context	WP5	8 - Cerema	Report	Public	20
D6.1	IPP Terms of reference	WP6	2 - POLIS	Report	Public	6
D6.2	Call documents	WP6	2 - POLIS	Report	Public	30
D6.3	IPP Documentation	WP6	2 - POLIS	Report	Public	40
D6.4	SUMPs in Action – IPP results brochure	WP6	2 - POLIS	Report	Public	42
D7.1	SUMPs Status Report	WP7	4 - EUROCITIES ASBL	Report	Public	21
D7.2	Interim result report of the city level SUMP monitoring and impact evaluation	WP7	8 - Cerema	Report	Public	23
D7.3	Interim result report of the project level SUMP monitoring and impact evaluation	WP7	8 - Cerema	Report	Public	21
D7.4	City level monitoring and impact evaluation report: "Influences of SUMP on mobility planning in cities"	WP7	8 - Cerema	Report	Public	40
D7.5	Policy recommendations and project level take-up monitoring and evaluation report	WP7	8 - Cerema	Report	Public	42
D7.6	Glossy brochure on 5 Case studies of SUMP development and impacts	WP7	8 - Cerema	Report	Public	42
D8.1	Communications strategy	WP8	1 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D8.2	Editorial guidelines	WP8	1 - ICLEI EURO	Report	Confidential, only for members	3

Deliverable Number ¹⁴	Deliverable Title	WP number ⁹	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
					of the consortium (including the Commission Services)	
D8.3	Communications materials	WP8	1 - ICLEI EURO	Report	Public	6
D8.4	Online Tools Inventory	WP8	1 - ICLEI EURO	Websites, patents filling, etc.	Public	15
D8.5	Online Tool Registry	WP8	1 - ICLEI EURO	Websites, patents filling, etc.	Public	12
D8.6	Online learning resources	WP8	1 - ICLEI EURO	Websites, patents filling, etc.	Public	6
D8.7	Publications schedule	WP8	1 - ICLEI EURO	Report	Public	4
D8.8	Exploitation Strategy	WP8	1 - ICLEI EURO	Report	Public	24
D9.1	Quality Plan and Risk Management	WP9	1 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	12
D10.1	H - POPD - GEN - Requirement No. 1	WP10	1 - ICLEI EURO	Ethics	Confidential, only for members of the consortium (including the Commission Services)	4

1.3.3. WT3 Work package descriptions

Work package number ⁹	WP1	Lead beneficiary ¹⁰	4 - EUROCITIES ASBL
Work package title	Identifying the needs of take-up cities		
Start month	1	End month	42

Objectives

MAIN OBJECTIVES:

- Conduct robust and comprehensive research to better understand the SUMP take-up needs, drivers and barriers that face local authorities (LAs) around Europe.

SPECIFIC OBJECTIVES:

- Identify countries and regions where SUMP take-up is low and the impact of transport severe;
- Determine trends, thematic priorities, challenges and take-up needs in sustainable urban mobility planning;
- Develop a city-profile matrix based on common SUMP characteristics;
- Thematically orient SUMP-UP Innovation Pilot Pool calls;
- Engage local planners and decision-makers early in the project.

Description of work and role of partners

WP1 - Identifying the needs of take-up cities [Months: 1-42]

EUROCITIES ASBL, ICLEI EURO, POLIS, CITY OF TURKU, RUPPRECHT, TRIVECTOR, WI, Cerema

WP1 will build on the consortium's expertise and pre-analysis in the proposal stage and perform further in-depth research of SUMP take-up needs, barriers and challenges faced by LAs around Europe (T1.1). It will utilise a number of methods - desk research, online surveys, focus groups and interviews – to extract this valuable data. The results of this research will be analysed and clustered (T1.2), and used to steer activities mainly in WPs 2, 3, 4 and 6, and the monitoring and evaluation processes in WP7.

Task 1.1: Knowledge collection (lead: EUROCITIES, support: all partners)

This task will gather information on existing local mobility planning practices and document problems, deficiencies, needs and opportunities in SUMP take-up around Europe. A Needs Assessment Plan (T1.1.1) will set out the objectives, target groups, methodologies and questions that will drive this investigative process, known as the Needs Assessment (T1.1.2).

Task 1.1.1 - Needs Assessment Plan (NAP)

The Needs Assessment Plan (D1.1) will outline WP 1's strategy for data gathering. It will describe the current SUMP status in Europe, including take-up barriers and challenges, based on the results of the SUMP-UP proposal phase survey, and experiences and lessons learned from previous and ongoing SUMP-related projects such as Eltis Plus, CHALLENGE, ENDURANCE, POLYSUMP, ADVANCE, QUEST, PUMAS, BENEFITS and others. This will also include the first analysis of the SUMP Self-Assessment Scheme and the results of its first official year, followed by regular analyses during the course of the project (e.g. country analyses, score evaluation by SUMP characteristics and development steps, analysis of compliance with minimum requirements and standards of excellence).

The NAP will be a practical document; it will determine the scope, the target countries and audience, and the objectives of the Needs Assessment. It will design the appropriate questions, describe the applied methodologies for data collection and analysis, and provide an overview of activities and responsibilities. WP1 will develop the NAP in close consultation with SUMP-UP partners to ensure that the generated data will be valuable in informing the work of other WPs.

Task 1.1.2 – Needs Assessment

The purpose of the Needs Assessment is to produce insightful data on the take-up needs of cities, allowing the WPs to calibrate their supporting tools and services they are producing to help cities accelerate the take-up of SUMP. A wide range of SUMP-related variables will be taken into account, including city size, modal split, policy priorities, planning and organising competencies, financial constraints, and the level of experience and capacities of city staff.

Apart from mapping out specific areas of interest (including urban freight, electro mobility, active travel, stakeholder engagement, fleet management and joint procurement) SUMP-UP will investigate the interest in wider SUMP objectives such as improving air quality, health, social cohesion and accessibility, and take into account the link with local energy action plans and smart city deployment.

For consistency and to avoid overlap with the ex-post and ex-ante evaluation of take-up cities (WP7), all Needs Assessment activities will be closely coordinated by the Wuppertal Institute. City networks EUROCITIES, ICLEI, Polis and UBC – representing over 380 member cities in Europe – will use their extensive communications channels to engage local planners and decision makers in the Needs Assessment. This process consists of two elements:

Online survey

The online survey will collect broad and comparable data on local mobility planning practices and the SUMP take-up needs of at least 300 planning authorities. The survey will be developed on the basis of the proposal survey; EUROCITIES will lead on its development with the content support and technical assistance of Rupprecht Consult.

The survey will be in English and the languages of three selected target countries and made accessible via the homepage of the project website. It will be actively promoted to city network members; external contacts; relevant expert communities; and projects, platforms and stakeholders such as CIVITAS, Eltis, European Mobility Week, the European Platform on Mobility Management and the new integrated Covenant of Mayors on Climate and Energy. EUROCITIES will monitor response rates together with ICLEI and, if needed, pro-actively contact city representatives by phone.

The online survey will be conducted from M3 until M6 in order to gather information on:

- Defining city characteristics: (e.g. city size, modal split)
- SUMP status (e.g. level of experience with SUMP development, stage of SUMP development)
- Challenges in SUMP development (e.g. disadvantageous spatial structure, weak national framework)
- SUMP take-up needs (in terms of development, content and implementation, mobility policy areas, etc.)
- National framework conditions

The latter is of specific importance for WP5. It will also gather information on the professional profile of the respondents (such as position or mandate; function; department and language) to be able to integrate that in the analysis.

Focus groups and interviews

While the online survey addresses the quantitative aspect of the Needs Assessment, SUMP-UP will also organise two stages of in-depth, qualitative research.

Interviews: WP1 will see up to five interviews conducted with experts and city representatives that are selected on the basis of the specific SUMP expertise or challenges they are facing (e.g. absence of national/regional framework, small/medium sized city versus metropolitan area, etc.). This will deepen the findings in certain areas.

Focus group - EUROCITIES and Polis will organise two focus group meetings at a relevant internal or external event. Local practitioners and decision-makers will engage in structured dialogue – moderated by a consortium expert - to discuss the online survey results and identify additional SUMP challenges and take-up needs. This will allow SUMP-UP to identify otherwise unknown SUMP-related topics and issues, and also help to generate interest and promote involvement in the project within the focus group. The first focus group will take place within the first project year, the second one before the midterm review. The second focus group will be organised in close cooperation with WP7, which will also bring the first results of their research up for discussion.

Task 1.2 Analysis and Clustering of Take-Up Needs (lead: Triv, support: Polis, Rupprecht, WI, city partners)

Task 1.2 will process, analyse and cluster the information obtained through the online survey, the focus group meetings and interviews in order to identify common SUMP take-up needs, challenges, thematic priorities, areas of expertise and knowledge gaps in cities across Europe.

Task: 1.2. City profile matrix

Cities that share specific characteristics, challenges and interests will be grouped and categorised in a city profile matrix. This matrix will allow WP2/3 to design corresponding support packages on planning processes and measures. The analysis and clustering of take-up needs will also support the learning curricula designed for the capacity-building activities (WP4) and shape the SUMP-UP Innovation Pilot Pool calls (WP6).

Task: 1.2.1 Needs Assessment Report

The survey results collected under Task 1.1 will be processed, analysed and documented in the report “User needs analysis for take-up” (D1.2), which will distinguish thematic priorities and common urban mobility planning objectives and challenges and group them according to specific needs and implementation issues. The qualitative data from the focus group meetings and interviews - and experiences from WP2/3 - will also be integrated into the report. The city profile matrix will be annexed, offering an overview of cities that share similar characteristics in terms of present mobility patterns, goals and objectives for future mobility, context conditions, challenges, maturity in mobility planning, etc. The city profiles will lay the foundation for tailored bundles of measures and policies consistent with local challenges to ensure successful SUMP implementation. The report will be particularly used by WP7 as a base for the project’s monitoring and evaluation processes. The report will be updated once and developed into a SUMP take-up Status Report (D1.3) together with the first outcomes of the monitoring work of WP7 and the outcomes of the second focus group. The Status Report will address a wider audience of SUMP experts and stakeholders.

--

Participation per Partner

Partner number and short name	WP1 effort
1 - ICLEI EURO	1.00
2 - POLIS	0.50
3 - CITY OF TURKU	0.50
4 - EUROCITIES ASBL	7.00
5 - RUPPRECHT	4.00
6 - TRIVECTOR	3.00
7 - WI	1.00
8 - Cerema	0.50
Total	17.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D1.1	Needs Assessment Plan	4 - EUROCITIES ASBL	Report	Confidential, only for members of the consortium (including the Commission Services)	2
D1.2	User needs analysis on take up report including city profile matrix	4 - EUROCITIES ASBL	Report	Public	9

Description of deliverables

D1.1 : Needs Assessment Plan [2]

The Needs assessment plan will outline WP 1's strategy for data gathering.

D1.2 : User needs analysis on take up report including city profile matrix [9]

The survey results collected under task 1.1 will be processed, analysed and documented in this report.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Online Survey closed	4 - EUROCITIES ASBL	8	The online survey will collect broad and comparable data on local mobility planning practices and the SUMP

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
				take-up needs of at least 300 planning authorities.
MS2	Focus group 1	4 - EUROCITIES ASBL	10	First focus group meeting at relevant internal or external event.
MS3	Focus group 2	4 - EUROCITIES ASBL	20	Second focus group meeting at relevant internal or external event.

Work package number ⁹	WP2	Lead beneficiary ¹⁰	5 - RUPPRECHT
Work package title	Planning process support		
Start month	1	End month	42

Objectives

MAIN OBJECTIVE:

- Provide planning authorities with the most effective planning tools and methods for the SUMP development process

SPECIFIC OBJECTIVES:

- Identify and define the most effective tools and methods to support and enhance the SUMP planning process
- Review SUMP-friendly planning tools that help overcome take-up barriers and provide guidance adapted to the specific needs of different city types
- Provide 100 subcontractors with planning support when initiating and improving the SUMP development process in over 60 learning activities
- Increase the SUMP knowledge base and review the SUMP Guidelines

Description of work and role of partners

WP2 - Planning process support [Months: 1-42]

RUPPRECHT, ICLEI EURO, POLIS, CITY OF TURKU, EUROCITIES ASBL, TRIVECTOR, WI, TOWL, ADS, Malmö, BKK, SUMC, BCC, THEPTA

WP2 will identify the most effective planning tools and methods for the SUMP process and give guidance in key topic areas relevant for developing high-quality, effective and efficient SUMP. The WP will bring together a wide array of planning-process support tools created in European SUMP projects and beyond (T2.1). An online SUMP Tool Inventory will give comprehensive information about the most effective tools available for developing a SUMP and its application in different local settings and by different types of cities.

In addition, City Partners (CPs) will have the opportunity to test fresh, innovative approaches in SUMP development in their cities (T2.2). Results from these SUMP Innovations will be fed back into the SUMP Tool Inventory and WP4's capacity building programme, and will be a great source of innovation and knowledge for the SUMP Up Innovation Pilot Pool. Finally, SUMP-Up will conduct a comprehensive update of the online SUMP Guidelines so that this key reference publication captures the latest SUMP trends, approaches and sustainable mobility solutions being applied in Europe's LAs. Overall, WP2 will provide content for WP4, transferring the outputs to all subcontractors, mobility practitioners and SUMP-interested cities.

Task 2.1: Development of SUMP Tool Inventory (lead: Rupprecht; support: all partners)

Task 2.1.1 Identification of existing SUMP tools

As a preparatory first step for the SUMP Tool Inventory, this task will conduct a tool search among the outputs of previous and on-going European SUMP projects and initiatives, SUMP development tools offered by European and international organisations, and publicly available and Creative Commons tools. It will also analyse together with the partner cities to what extent LAs use private sector products and in which planning phases. An additional rapid review of tools that have recently been finalised, e.g. in the context of other European projects, will be conducted in Month 30 to ensure up-to-date information and resources in the inventory.

Task 2.1.2 Detailed assessment of tools

Based on the tool identification, WP2 will produce an analysis report selecting (at least) the 50 best tools for SUMP development and implementation. The tools will then undergo a comprehensive review. First, this will involve a detailed assessment of tool characteristics, including:

- Product type (e.g. analysis method, guideline, software);
- Thematic area related to the SUMP process (e.g. SUMP management, participation process, SUMP evaluation);
- Target group (e.g. transport planner, participation designer, data analyst);
- Duration (e.g. continuous, restricted);
- Level of complexity;
- Skills and know-how required;
- Input required (e.g. data, or need to apply other complementary tools);
- Assistance required (e.g. stand-alone tool, external support required);
- Pricing (e.g. free tool, categorisation of costs).

Secondly, each tool will undergo a Suitability Check assessing it against different city typologies defined in WP1 and key SUMP process areas. A transparent and standardised matrix scheme will be developed which will allow the ranking of each tool's usability on a common reference scale. Furthermore CPs, as the actual tool users, will provide insights and report on their experiences with the tools in day-to-day transport planning. Their feedback will be integrated into the tool evaluation and also be taken up in the online inventory as user reports.

All review results will be summarised in a SUMP Tool Suitability Check report (D2.1). Where appropriate, tools will be updated and adapted to LAs' needs as identified in WP 1. The analysis report will also contain an analysis of gaps, i.e. topic areas identified in WP1 as highly crucial for cities in SUMP development but where process-support tools are available only to a limited extent, or not at all. SUMP-Up partners will decide which selected and very specific guidance the project will provide to fill these gaps.

This may include, for instance, new guidance material and recommendations based on the experiences of cities in the SUMP Innovations and Urban Learning Alliances (ULAs) (e.g. instructions, step-by-step guides, checklists for specific SUMP activities). Any new guidance material developed within SUMP-Up will be directly added to the SUMP Tool Inventory and will be taken into account in the update of then SUMP Guidelines.

Closely linked to the update of selected tools, SUMP-Up will further enhance the recently launched SUMP Self-Assessment Scheme. The Self-Assessment is currently running under a 'software as a service' licence, which limits flexibility to adapt the scheme. SUMP-Up will assume responsibility for the SUMP Self-Assessment and further develop its functionality, based on a review of user feedback after the scheme's first year (winter 2016). Improvement works will include converting it from a service provider-dependent tool to a stand-alone instrument; programming is foreseen to include features such as comprehensive benchmarking for participating planning authorities, auto-analysis of submitted assessments, enhanced user-friendliness (e.g. improved save and resume options) and full data security.

Task 2.1.3 Preparation of the SUMP Tool Inventory and development of an Implementer's guide

This task will develop the concept and functionality, and define the technical and management requirements, for the online inventory. This will be done in close co-operation with CPs to ensure the inventory fulfils LAs' needs. Consolidated into a concept paper, this will serve as guidance for WP8, which will take care of the technical management and hosting of the inventory (Task 8.2 Product development).

The SUMP-Up Tool Inventory will help LAs make better informed decisions about which planning tools to apply in their given local planning context. Using an advanced search function, the highly dynamic and multi-functional inventory interface will allow planning authorities to adapt the tool search to their own criteria and needs. As each tool has been labelled according to its general characteristics and the matrix assessment results, the inventory will be able to suggest tools for a variety of situations (e.g. low-cost tools for involving stakeholders and citizens - recommended for small and medium-sized cities).

The inventory will be an engagement platform enabling interaction and co-creating knowledge. Users will be able to access/download tools; leave a review (comment); rate the tool; share it on social media; and suggest new tools. The inventory – hosted by SUMP-Up – will be programmed in compliance with Eltis and CIVITAS website requirements so that these initiatives can easily build in the inventory if they wish (thus enhancing the Eltis Tools section, for example). Complementary to the SUMP Tool Inventory, WP 2 will produce 3 SUMP Guidelines (D2.2) on specific topics concerning SUMP development and representing special guidance for cities including opportunities and limitations they might face. It will also incorporate findings of Task 2.2 Innovations in Practice.

Task 2.2 SUMP development: Innovations in practice (lead: Rupprecht; support:all CPs)

Task 2.2.1 Development of SUMP process innovations

Hand-in-hand with identifying effective tools (T2.1), SUMP-Up CPs will test seven cutting-edge approaches and instruments related to SUMP development. These 'SUMP Innovations' will encourage and support SUMP take-up in CPs, thus enabling them to lead by example and inspire cities in SUMP development.

In the project's first phase, CPs will confirm their SUMP Innovations and re-focus, where required. For each local SUMP activity, the innovation potential will be defined. 'Innovation Pitches' will be conducted at a consortium meeting in M11 to agree on the proposed value of each innovation. Subsequently, CPs will develop SUMP Innovation descriptions (D2.3) outlining the tests and approaches to be carried out within SUMP-Up. They will provide an overview of each innovation's planned activities and will serve as a framework to help cities plan and implement their innovation schemes. CPs will be advised by the project's support partners and led by Rupprecht Consult.

Task 2.2.2 Implementation of SUMP Innovations

In Task 2.2.2, SUMP-Up cities will adopt and put into practice their SUMP Innovation (Examples of Innovation see p.13,14). The aim is to test effective tools, methods and approaches in SUMP development and take relevant steps forward in local strategic transport planning. Regular progress reports will ensure that CPs keep track of goals and

constantly compare planned with actual achievements. Progress checks will allow cities to identify local challenges early in SUMP Innovation preparation and implementation and to react to changing context conditions.

To facilitate exchange among CPs on their SUMP Innovations and share findings with contractors, mobility practitioners, SUMP Innovations will be presented and discussed in WP4 activities such as the ULA workshops and the SUMP Innovations webinar series where CPs exclusively report about their innovation experiences (both process-related and measure-related innovations, three webinars each). Furthermore, CPs will capture the knowledge gained and document their innovation concepts, achievements and results in additional formats including:

- SUMP Innovation reports - as input for the final documentation deliverable (D2.4);
- Reviews of tools in the SUMP Tool inventory - either by updating existing tools and sharing review reports, or by adding their innovation approaches as new tools to Eltis;
- SUMP Innovation fact sheets (D2.5).

Task 2.3 Update existing SUMP Guidelines and develop three new SUMP Guides (lead: Rupprecht; support: all partners) The Urban Mobility Package (2013) further established the EC's SUMP concept and also released the SUMP Guidelines "Developing and Implementing a Sustainable Urban Mobility Plan" (2014). The Guidelines are currently being converted into online publications for Eltis. In the final phase of SUMP-Up in 2018/2019, when this key reference document is about five years old, SUMP-Up will conduct a comprehensive update of the content to keep transport planners and decision-makers up-to-date on SUMP trends, approaches and practices. Several project partners have leading roles in current (but soon-to-end) SUMP projects and initiatives (e.g. CH4ALLENGE, ENDURANCE, Poly-SUMP). They will identify sections in the guidelines where their projects' findings and best-practice examples will enhance existing content, and add their results.

SUMP-Up will also contribute to increasing the SUMP knowledge base and update the guidelines with its own findings. The update and further development of the SUMP Guidelines will include:

- Adding a 'Tools' section to each SUMP cycle activity (complementing the Rationale, Aims, Tasks and Activities beyond essential requirements sections) and linking to the relevant tools in the tool inventory;
- Adding tailored guidance sections for specific city profiles and application context
- Revising the chapter on Step 7 "Agree on clear responsibilities and allocate budgets", with specific focus on action plan development (where guidance is currently limited and will be developed in WP3);
- Highlighting SUMP Innovations in relevant planning cycle 'step' chapters;
- Adding more than 50 new local case examples from LAs supported by the IPP, including reviewing and replacing out-of-date examples;

Task 2.3 will also produce 3 additional SUMP Guidelines, developed by Rupprecht, POLIS and Eurocities under the quality control of ICLEI.

Participation per Partner

Partner number and short name	WP2 effort
1 - ICLEI EURO	3.00
2 - POLIS	3.00
3 - CITY OF TURKU	1.00
4 - EUROCITIES ASBL	3.00
5 - RUPPRECHT	14.00
6 - TRIVECTOR	4.00
7 - WI	1.00
9 - TOWL	6.00
10 - ADS	6.00
11 - Malmö	6.00
12 - BKK	6.00
13 - SUMC	6.00

Partner number and short name	WP2 effort
14 - BCC	6.00
15 - THEPTA	6.00
Total	71.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D2.1	Report on Suitability Check of SUMP Tools	5 - RUPPRECHT	Report	Public	12
D2.2	3 SUMP Guidelines	5 - RUPPRECHT	Report	Public	16
D2.3	SUMP Innovation descriptions	5 - RUPPRECHT	Report	Public	12
D2.4	SUMP Innovation Factsheets	5 - RUPPRECHT	Report	Public	36
D2.5	Update of online SUMP Guidelines	5 - RUPPRECHT	Report	Public	42

Description of deliverables

D2.1 : Report on Suitability Check of SUMP Tools [12]

All review results of assessment of tools will be summarised in a SUMP Tool Suitability Check Report

D2.2 : 3 SUMP Guidelines [16]

Development of 3 SUMP Guidelines

D2.3 : SUMP Innovation descriptions [12]

The SUMP's Innovation descriptions will outline the tests and approaches to be carried out within SUMP's Up.

D2.4 : SUMP Innovation Factsheets [36]

Development of SUMP Innovation Factsheets.

D2.5 : Update of online SUMP Guidelines [42]

Comprehensive update of the content of online publications to keep transport planners and decision-makers up-to-date on SUMP trends, approaches and practices.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS4	Definition of the 50 best SUMP tools	5 - RUPPRECHT	6	List of 50 best tools
MS5	Technical and content specifications for SUMP tool inventory finalised	5 - RUPPRECHT	12	Documents handed over to WP8

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS6	Confirmation of SUMP innovations in each partner city	5 - RUPPRECHT	6	Online meeting with CP partners
MS7	Second, rapid review of SUMP tools	5 - RUPPRECHT	30	Update of the tool inventory
MS11	Input to update of guidelines	5 - RUPPRECHT	35	Updated document
MS33	Development of 3 SUMP Guidelines	5 - RUPPRECHT	16	Development of 3 SUMP Guidelines

Work package number ⁹	WP3	Lead beneficiary ¹⁰	6 - TRIVECTOR
Work package title	Measure support		
Start month	1	End month	42

Objectives

MAIN OBJECTIVES:

Support cities in developing mobility policy areas and measures to be included in their SUMP and in developing and implementing SUMP Action Plans.

SPECIFIC OBJECTIVES:

- Develop guidance that supports cities to identify appropriate mobility policy areas and effective measures for their SUMP and SUMP Action Plan;
- Develop guidance that support cities to develop a SUMP Action Plan;
- Develop guidance about innovative financial alternatives for the implementation of measures and innovative approaches for procurement procedures.

Description of work and role of partners

WP3 - Measure support [Months: 1-42]

TRIVECTOR, ICLEI EURO, CITY OF TURKU, EUROCITIES ASBL, RUPPRECHT, WI, TOWL, ADS, Malmö, BKK, SUMC, BCC, THEPTA

Description of work

The development of SUMP content and its Action Plan is the focus of WP3. Mobility policies and measures are at the heart of these planning documents. WP3 concentrates on cities that follow a measure-driven approach for more comprehensive planning, and that want to develop measures and measure-packages as part of their SUMP process.

WP1's analysis of the context, objectives and maturity of survey cities will form the basis for targeted advice on what mobility policy fields, measures and measure-packages cities should consider integrating in their SUMP and SUMP Action Plan, and how. In terms of realising the SUMP and its measures, special attention will be placed on financing mechanisms and public procurement.

WP3's key output is practical material on how to generate the substance of a SUMP, by providing, for example, checklists, methods and rating systems. WP3 will collaborate closely with WP2 to incorporate this guidance into the SUMP Tool Inventory. The developed outputs will be applied in WP4. WP3 will also closely cooperate with WP7 to receive feedback if the measure-related guidance material helps cities to develop content for their SUMP and SUMP Action Plans.

Task 3.1 Identification of measures for a SUMP (lead: Triv; support: RC)

Task 3.1.1: Identification of mobility policy fields and measures for a SUMP

The WP's first step is to give an overview about the relevant policy fields and measures which should be considered when developing SUMP content. The key reference for these policy fields is the 2013 Urban Mobility Package (UMP). Based on this and the thematic interests formulated by LAs in the proposal survey the following themes were detected: Public transport, Non-motorised transport, Intermodality, Urban road safety, Road transport, Urban logistics, Mobility Management, Intelligent transport systems, Urban planning, Electric mobility, Shared mobility

Cities should be aware of the different requirements measures have for application and impacts they can generate. Therefore measures will be identified for each mobility policy area and described on a qualitative basis according to several criteria, including:

- Effectiveness
- Efficiency
- Relations to other policy sectors (health, congestion, climate protection, local economy, etc.)
- Best value for money (costs and benefits)

Sources and references for this task include best-practice databases like Eltis and CIVITAS; measure support guides like KonSULT and MaxExplorer; and projects dealing with the effects of transport policies and measures, like EVIDENCE. The output of the subtask is a multi-criteria matrix of measures presenting their relevance to SUMP.

3.1.2 Pipelining measures for SUMP

The measures assessed in 3.1.1 will need to be specified and aligned to different city types. The aim of Task 3.1.2 is to produce three manuals for the selection and combination of measures for different city profiles. These include the city types identified in WP1 as well as different levels of maturity and experiences in the development of mobility policy fields and measures:

- Cities that are not yet familiar with sustainable urban transport and need basic information on how to start SUMP-related policy development;
 - Cities that have already applied measures but non-systematically; they need information about how to package measures and use them more strategically to achieve synergies;
 - Cities that have transport plans for other policy areas in place (e.g. cycling, public transport) and want to change their silo-planning to a more integrated SUMP planning approach (with a SUMP as an ultimate goal); they need information about the relation of measures to other policy fields and how to use their planning documents for more strategic planning.
- SUMPs-Up will develop guidance for these types of cities (manuals) on how to identify SUMP measures and measure-packages and how to enhance selected mobility fields. The outputs of this subtask are city-type-specific recommendations, checklists, and rating systems for priorities of measures. On that basis cities should be able to develop roadmaps for measure development as input for their SUMP (which will be conducted in WP4). The guidance material will be available in the SUMP Tool Inventory of WP2 as it additionally refers to the planning process. It will also feed into the Inventory's structural development and provide input for Task 2.3 (the update of the SUMP Guidelines).

Task 3.1.3: Measure-related financing and procurement procedures

Finance and public procurement issues are crucial for SUMP implementation and a SUMP Action Plan. WP3 will pay special attention to both topics in the context of Tasks 3.1.1 and 3.1.2.

Therefore, 3.1.3 will identify existing alternative financial solutions and innovative public procurement. The WP1 survey outcomes will be analysed with a focus on financing and procurement, and enriched with desk research and interviews with CPs that have relevant experience and who will try out related innovations in their local framework (T3.3). This will be followed by a workshop that will discuss and analyse different financing alternatives and procurement procedures according to their relevance to SUMP take-up and related measures; this will be incorporated into the capacity-building programme (WP4) and highlighted in the national expert discussions (WP5). These steps will lead to the production of supporting material on innovative financing alternatives and procurement procedures, and recommendations of when and how to use them. This material will be made available for the SUMP Tool Inventory.

Task 3.2 Development of a SUMP Action Plan (lead: Triv; support: City Partners, RC)

Task 3.2 will develop guidance material for cities on SUMP Action Plan development, including templates, links to quality examples and tools. It will complement the guidance provided in the SUMP Guidelines (Step 7, where guidance is currently limited). Real-world examples from CPs and additional cities on how to develop an action plan will be described in test-case city reports and will incorporate the outcomes of Task 3.3.

Task 3.2.1 SUMP Action Plan development practices

This task will identify the quality of SUMP Action Plan development in LAs around Europe through an analysis of the Eltis city database, and interviews with CPs. It will be addressed by the focus group in WP1. This research will result in an overview of current practices with a focus on barriers and good practices.

Task 3.2.3 SUMP Action Plan standards

Based on the results of the previous task, 3.2.3 will develop principles and guidelines for SUMP Action Plan development, including an Action Plan template. This will be submitted to Eltis and available in the e-Inventory. The guidance material will take into account the different levels of SUMP development experience and degrees of maturity. The guidance material will include:

- What to include in the Action Plan (responsibilities, resources, stakeholder coordination, time plans, funding sources);
- Examples of Action Plan templates and a user manual;
- References to good examples of Action Plans

The results from 3.1.3, especially on the allocation of SUMP Action Plan resources, will be taken into account when compiling this guidance material.

Task 3.3 Innovation in practice (lead: support: City Partners, RC)

This task follows the same approach and structure as described in WP2 (T2.3), but will focus on the implementation of seven measure-related pilot schemes. Potential innovations have already been identified by the cities and have to be reviewed and updated in the beginning of T3.3. SUMPs-Up CPs will be supported to develop city-specific innovative measures and pilot measures, and report on key results which will be linked to WP4 (e.g. contribution of three webinars to SUMP Innovation webinar series) and will serve as input to D2.5 (update of the SUMP Guidelines). CPs will also produce SUMP Innovation descriptions (D2.3) and input for the aggregated SUMP Innovation report (D2.4) for their measure-related pilot schemes; to avoid work inefficiencies, this will be coordinated for all SUMP Innovations in WP2.

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Participation per Partner

Partner number and short name	WP3 effort
1 - ICLEI EURO	2.00
3 - CITY OF TURKU	1.00
4 - EUROCITIES ASBL	1.00
5 - RUPPRECHT	4.00
6 - TRIVECTOR	12.00
7 - WI	1.00
9 - TOWL	5.00
10 - ADS	5.00
11 - Malmö	5.00
12 - BKK	5.00
13 - SUMC	5.00
14 - BCC	5.00
15 - THEPTA	5.00
Total	56.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D3.1	Manuals (3x) on the integration of measures and measure packages in SUMP	6 - TRIVECTOR	Report	Public	10
D3.2	Report "Standards for SUMP Action Plans"	6 - TRIVECTOR	Report	Public	12
D3.3	Innovative financing alternatives and procurement procedures for SUMP measures	6 - TRIVECTOR	Report	Public	42
D3.4	Factsheets on innovative measures	6 - TRIVECTOR	Report	Public	32

Description of deliverables

D3.1 : Manuals (3x) on the integration of measures and measure packages in SUMP [10]
Multi-criteria matrix of measures presenting their relevance to SUMP.

D3.2 : Report "Standards for SUMP Action Plans" [12]

Guidance material for cities on SUMP Action Plan development, including templates, links to quality examples and tools.

D3.3 : Innovative financing alternatives and procurement procedures for SUMP measures [42]

Supporting material on financing alternatives and procurement procedures, and recommendations of when and how to use them.

D3.4 : Factsheets on innovative measures [32]

Factsheets on potential innovations.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS6	Confirmation of SUMP innovations in each partner city	5 - RUPPRECHT	6	Online meeting with CP partners
MS8	Long-list of identified mobility policy fields and measures	6 - TRIVECTOR	8	Document with the list handed over to WP2
MS9	Input to the SUMP Tool Inventory	6 - TRIVECTOR	12	Input document ready handed over to WP2
MS10	Workshop on financing and procurement	6 - TRIVECTOR	24	Workshops minutes

Work package number ⁹	WP4	Lead beneficiary ¹⁰	3 - CITY OF TURKU
Work package title	Learning in community		
Start month	1	End month	42

Objectives

MAIN OBJECTIVES:

- Create, develop and conduct comprehensive capacity development activities for subcontractors and other European mobility experts.

SPECIFIC OBJECTIVES:

- Based on the outcomes of WP2/3, develop over 60 learning activities that will equip subcontractors and mobility practitioners with the skills to develop SUMP;
- Provide close, individual support and opportunities for dialogue and exchange for cities and practitioners to follow their SUMP processes and enhance SUMP take up;
- Enable interested European mobility experts and planners to find the right tools and methods for SUMP development.

Description of work and role of partners

WP4 - Learning in community [Months: 1-42]

CITY OF TURKU, ICLEI EURO, POLIS, EUROCITIES ASBL, RUPPRECHT, WI, TOWL, ADS, Malmö , BKK, SUMC , BCC, THEPTA

WP4 will develop, organise and facilitate the comprehensive capacity-development activities for subcontractors and other interested European mobility experts. Based on the needs identified in WP1, and the content produced in WP2/3, this work package will create different capacity development offers for the target groups to meet the specific needs and challenges that European cities are facing in SUMP development.

Task 4.1 Urban Learning Alliances (lead: RC, support: all partners)

Urban Learning Alliances (ULAs) are facilitated by peer-to-peer groups with planning authorities, local and regional stakeholders or mobility expert organisations who have successfully tendered for the SUMP-Up IPP, giving technical assistance to cities with similar characteristics in terms of geography, size, current preconditions and/or challenges, SUMP experience levels, etc. and are carrying out similar activities. These “classes” will learn together, exchange experiences and support each other in implementing their AF SUMP development activities. Within the project lifetime there will be five ULAs with representatives from 100 authorities. Each ULA will contain up to 20 authorities and be managed by a SUMP-Up expert facilitator – one of the city networks, Rupprecht and Trivector – that will guide the authorities in learning, dialogue and exchange. CPs will act as ULA knowledge experts and will co-manage the alliance together with the facilitators. The activities conducted in the ULAs consist of the following elements:

Task 4.1.1 Learning curricula

Task 4.1.1 will develop three comprehensive quality learning programmes that will be put into practice in the ULAs. Based on the outputs and content produced in WP2/3, SUMP-Up will design and structure relevant SUMP training activities – a process that will take place in the first phase of SUMP-Up. The curricula will define on-going teaching, support and monitoring activities for each of the three IPP calls. Therefore, the curricula will be designed hand in hand with the IPP and may vary in depth depending on the thematic scope and complexity of the IPP calls (WP6). The curricula will include regular progress checks (WP7) as a mechanism to ensure successful implementation of IPP projects.

Task 4.1.2 Peer learning and exchange

This task comprises the actual learning and exchange activities of IPP authorities and day-to-day operational procedures. The ULAs will utilise a number of resources and methods that apply the learning curricula including virtual (e-learning, online conferencing, webinars) and physical (face-to-face meetings, study visits, workshops). Each ULA will use a combination of these learning opportunities, including a minimum of two online and three physical meetings.

Virtual learning

Based on the thematic focuses of the IPP calls and specific training needs of the ULAs, SUMP-Up will offer a total of 15 tailored, moderated online courses (three per ULA) on the application of tools (those available in the SUMP Tool Inventory (WP2)) in SUMP development phases, SUMP implementation and selected mobility policy areas, explaining how best to apply these tools in specific contexts (for example, in small and medium-sized cities, or by local authorities

who are at a particular SUMP development stage). Where external tool expertise is needed, experts from other projects and organisations will be invited.

All online communication, discussion and learning in the ULAs will be handled through Moodle, an open-source learning platform that will be hosted on the SUMPs-UP website (WP8). The WP also strives to integrate already existing online learning material, where possible. Each city will have its own profile and activities can be followed by fellow cities in the same ULA. The platform will also serve as a tool for document management including provision of guidance documents and a submission feature (for example, for progress reports). Each ULA will also organise three support and peer-exchange webinars based on curriculum topics, and online meetings to enable regular exchange between cities and facilitate an ongoing discussion on SUMP processes.

Physical learning

Each ULA will also offer three opportunities for cities to meet and learn together face-to-face. These meetings can either be in the form of workshops and/or study visits to SUMPs-UP CPs. These will also be complemented with, on average, two “light” peer reviews per ULA where the visiting cities give feedback and input to the host city and its processes. Another option is to participate in one of the capacity building workshops (T4.2.2) or combine different options.

Expert support

Each ULA will be supported by a facilitator from one of the SUMPs-UP partners, with whom each IPP authority will have direct contact throughout the duration of the class. The CP will also be thematic experts. He/she will, together with the facilitator, support the group in their IPP activities and be the bridge to other expert partners that the cities might need to consult. Each participating authority will have the opportunity for a ‘one-to-one expert support’ session with their facilitator and/or the thematic experts (online, on the phone, or back to back with other meetings) and will receive email support if needed.

Task 4.2 SUMP capacity development for European urban mobility experts (lead: UBC, support: RC, ICLEI, EUROCIITIES, Polis, Trivector)

The ULA learning packages are only open to IPP authorities. However, SUMPs-UP will also provide possibilities for European urban mobility experts and other individuals interested in SUMPs to make use of the SUMPs-UP learning resources so that they can gain a greater understanding of the concept and the implementation of SUMPs. The city networks will play a pivotal role in engaging this target group.

4.2.1 Creating a learning concept for mobility experts

The activities in Task 4.2 are aimed at individual learners, i.e. people working in mobility planning who want to expand their knowledge in SUMP development and implementation, and who want to meet colleagues to exchange experiences. Participants will be able to make use of the SUMPs-UP learning and exchange offers most relevant for them. The learning concept will be developed based on the outcomes of WP1, and in synthesis with the different ULA learning formats and thematic focus.

4.2.2 Learning activities for mobility experts in practice

The learning activities available to this group will include a total of

- 7 self-study online learning courses and 6 webinars;
- 8 physical training workshops (each city network will organise two over the project lifetime).

City networks may use their contacts, mailing lists, working groups and regular events to incorporate SUMPs-UP activities and organise SUMPs-UP workshops, study visits and peer reviews for their member cities and other interested mobility experts. To participate in the physical trainings participants can tender for support from the IPP (WP6).

Through these events the reviewed SUMP tools and methods will be promoted and disseminated to a wide audience among mobility experts in Europe with the aim to spread the concept of SUMP and increase understanding and take-up. Participants will benefit from free training possibilities, exchange between colleagues and in-depth information about SUMP tools that they can use in their daily work.

Participation per Partner

Partner number and short name	WP4 effort
1 - ICLEI EURO	4.00
2 - POLIS	4.00
3 - CITY OF TURKU	15.00
4 - EUROCIITIES ASBL	4.00
5 - RUPPRECHT	8.00

Partner number and short name	WP4 effort
7 - WI	3.00
9 - TOWL	3.00
10 - ADS	3.00
11 - Malmö	3.00
12 - BKK	3.00
13 - SUMC	3.00
14 - BCC	3.00
15 - THEPTA	3.00
Total	59.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D4.1	3 Curricula for the ULA (one per call)	3 - CITY OF TURKU	Report	Public	28
D4.2	3 ULA reports	3 - CITY OF TURKU	Report	Public	38
D4.3	Learning concept for mobility experts	3 - CITY OF TURKU	Report	Public	4

Description of deliverables

D4.1 : 3 Curricula for the ULA (one per call) [28]

Three comprehensive quality learning programmes that will be put into practice in the ULA's.

D4.2 : 3 ULA reports [38]

The learning concept will be developed based on the outcomes of WP1 and in synthesis with the different ULA learning formats and thematic focus.

D4.3 : Learning concept for mobility experts [4]

Reviewed SUMP tools and methods will be promoted and disseminated to a wide audience among mobility experts in Europe.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS12	Launch of 1st call ULA's	3 - CITY OF TURKU	10	Meeting minutes
MS13	Launch of 2nd call ULA's	3 - CITY OF TURKU	18	Meeting minutes
MS14	Launch of 3rd call ULA's	3 - CITY OF TURKU	30	Minutes meeting

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS15	Launch of capacity building programme	3 - CITY OF TURKU	7	Programme of the first workshop

Work package number ⁹	WP5	Lead beneficiary ¹⁰	8 - Cerema
Work package title	Improving national resources and governance		
Start month	1	End month	42

Objectives

MAIN OBJECTIVES:

- Support national governments and multipliers in developing facilitating structures for SUMPs. WP5 will work at the European and national level especially in countries in need of national support.

SPECIFIC OBJECTIVES:

- Consolidate the need for action, based on available analyses of national frameworks and based on analysis in WP1;
- Foster EU-level dialogue between government professionals in Member States (MS) on SUMPs;
- Foster dialogue within MS between the national, the regional and the local level;
- Activate multipliers within national/local bodies (e.g. associations, federations, lobby groups) to advocate SUMP development;
- Raise awareness of the importance of the national level for the take up of SUMPs.

Description of work and role of partners

WP5 - Improving national resources and governance [Months: 1-42]

Cerema, ICLEI EURO, POLIS, EUROCITIES ASBL, RUPPRECHT, TOWL, ADS, Malmö , BKK, SUMC , BCC, THEPTA

This WP aims to provide benchmarking, guidance and tools to improve governance and support at the national level for the development of SUMPs in MS. This is crucial as insufficient national support could substantially hinder the wider take-up of the SUMP concept. Through this WP, SUMPs-Up will also offer support to interested countries in setting up a non-profit certification scheme, based on the SUMP Self-Assessment concept, in order to implement a basic quality assurance mechanism.

WP5 will build on existing knowledge and ongoing activities such as the MS Expert Group on Urban Mobility. The beginning of the work will be carried out in close cooperation with WP1 which, as part of its analysis, will collect data on sustainable urban mobility practices also at a national level. Based on these outcomes the WP will organise exchange workshops on the European and national levels. The WP will support WP7 in defining criteria to monitor the progress of national support frameworks in MS. It will also provide special input on the importance of the national level for the SUMPs-Up communication (WP8).

Task 5.1 Status consolidation (lead: Cerema; support: Eurocities, Rupprecht)

Task 5.1 will give an overview on the current status of national level support for SUMPs. It will consist of a review of existing literature and will describe the current barriers and needs in all MS. The result of these analyses is a classification of the various types of national context conditions.

Task 5.1.1 Analyses of existing literature and data

The review will be based on findings of WP1 and on existing resources such as the recommendations of the CIVITAS CAPITAL Advisory group on SUMPs and in-house research. The analysis will be conducted for the following levels:

- At the local level – conducted in cooperation with WP1. LAs in Europe will be asked about the role of national institutions to promote and foster the development of SUMPs in their country, and about their expectations towards both European and national levels.
- At the national level – conducted via interviews with experts from government and national public agencies, national representatives of cities or LAs and national associations. The interview questions will be designed based on the outcomes of the desk research.
- At the European level – conducted through desk research. Existing sources that have reflected national policy will be reviewed (e.g. ENDURANCE, CH4ALLENGE).

Task 5.1.2 Classification of national policy for urban transport

Within this subtask the information gathered in 5.1.1 will be analysed to cluster the different national policies in MS according to their potential for a wider take-up of SUMPs. An MS profile matrix will comparatively show national urban transport policies for identified key criteria (e.g. national policy framework, national coordination, support for SUMPs, legal, regulatory framework, national audit, etc.). The matrix and its key findings will be presented in combination with an executive summary report called “SUMPs in Member States”.

Task 5.2 European SUMP exchange (lead: Cerema; support: Eurocities, Polis, ICLEI, Rupprecht)

Task 5.2 will establish a series of European exchange workshops between M12 and M26, composed of national representatives from governments, agencies and key SUMP stakeholders. The purpose of these workshops is firstly to increase the interest and awareness of SUMP at MS level and to receive suggestions on what support is needed, such as guidance and tools for MS's different starting points. Analyses of 5.1 will be presented to the participants, and will be critically reviewed. On the basis of the discussion, a policy paper on how to improve national framework conditions for national decision-makers will be developed. Five meetings are planned, of which two meetings will focus on selected challenges and barriers in MS; two will be dedicated to identifying solutions; and a fifth one will produce strategies on how to integrate these into national frameworks.

Close cooperation is foreseen with the Expert Group on Urban Mobility. This group may be involved at different levels: members could be invited to the workshop series mentioned above; or SUMP could become a standard element of the Expert Group's meeting agenda, thus taking up the workshop topics mentioned above; or by organising special SUMP meetings for the members (e.g. establishing a SUMP sub-group). The latter two options would need to be implemented in very close cooperation with DG Move.

Task 5.3 National SUMP exchange (lead: Polis; support: Cerema, Eurocities, ICLEI)

In addition to Task 5.2, a series of national workshops will take place in at least three countries where the need for support is identified in the status consolidation (T5.1). The objectives of these workshops are to:

- raise awareness on the need for a national framework to enhance local SUMP take-up;
- identify organisations that can successfully influence the establishment of national frameworks that are favourable to SUMP development;
- disseminate guidance and tools for the set-up of national frameworks;
- give specific recommendations according to the profile and context of each country.

Member States will be offered to work with the developers of the SUMP Self-Assessment concept (Rupprecht Consult) to "translate" (in terms of language and context) its system of 100 questions. This support would include advice on training for institutionalising a non-profit certification scheme.

For these workshops national representatives of ministries or agencies, national associations of LAs, professionals, and a selection of local representatives within one MS will be invited. The SUMP Up Innovation Pilot Pool (WP6) will support these national activities and help maintain network activities (such as in the ENDURANCE project).

The series of workshops in the selected target countries includes:

- a workshop (M20) presenting an overview of the country's situation, and the performance of a national analysis based on the detailed review conducted in 5.1;
- a workshop (M30) presenting national recommendations as an adaptation of the support proposed by task 5.2 (tools and guidance) into the national context;
- an assessment workshop (M40) to review the development of the national framework for SUMP.

The findings of these workshops will contribute to the policy recommendations and project level take-up, monitoring and evaluation report (D7.4).

Participation per Partner

Partner number and short name	WP5 effort
1 - ICLEI EURO	1.50
2 - POLIS	4.00
4 - EURO CITIES ASBL	4.00
5 - RUPPRECHT	2.00
8 - Cerema	7.00
9 - TOWL	0.50
10 - ADS	0.50
11 - Malmö	0.50
12 - BKK	0.50
13 - SUMC	0.50

Partner number and short name	WP5 effort
14 - BCC	0.50
15 - THEPTA	0.50
Total	22.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D5.1	SUMP in Member States report	8 - Cerema	Report	Public	14
D5.2	SUMP policy paper for national decision-makers	8 - Cerema	Report	Public	26
D5.3	Policy recommendations for at least 3 identified countries	8 - Cerema	Report	Public	36
D5.4	Support document for translating and adapting the SUMP Self-Assessment Scheme to the national context	8 - Cerema	Report	Public	20

Description of deliverables

D5.1 : SUMP in Member States report [14]

Executive summary report clustering the different national policies in Member states.

D5.2 : SUMP policy paper for national decision-makers [26]

Policy paper on how to improve national framework conditions for national decision-makers will be developed.

D5.3 : Policy recommendations for at least 3 identified countries [36]

A series of national workshops will take place in at least three countries with the objectives of raising awareness on the need for a national framework, identifying organizations that can successfully influence the establishment of NF, disseminate guidance and tools and give specific recommendations to each country

D5.4 : Support document for translating and adapting the SUMP Self-Assessment Scheme to the national context [20]

The findings of these workshops will contribute to the policy recommendations and project level take-up, monitoring and evaluation report.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS16	Classification of the national contexts	8 - Cerema	10	Matrix document on the classification
MS17	Launch of European exchange workshop	8 - Cerema	12	Invitation + agenda

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS18	Launch of national exchanges	8 - Cerema	15	Invitation + agenda

Work package number ⁹	WP6	Lead beneficiary ¹⁰	2 - POLIS
Work package title	SUMPs-UP Innovation Pilot Pool		
Start month	1	End month	42

Objectives

MAIN OBJECTIVE:

The main objective is to create a mechanism that allows SUMPs-Up to identify and validate the most effective concepts, approaches and methodologies in SUMP practice for different framework conditions and different types of cities. At least 100 subcontractors will test and verify SUMP development and/or implementation tools and methods, thus improving SUMPs-Up's products, services and learning processes. In addition, the WP will offer at least additional 200 mobility practitioners unique opportunities to participate in the project.

SPECIFIC OBJECTIVES:

- Identify areas of piloting, testing and co-creation of SUMPs-UP products and services, and SUMPs-UP support needs;
- Provide a mechanism for open calls for technical assistance to SUMPs-Up;
- Develop transparent procedures for the SUMPs-UP Innovation Pilot Pool in line with the needs of the project with regards to developing SUMP take-up tools and services;
- Relay lessons learned from Innovation Pilots to the SUMP community;
- SUMPs-Up will receive through this technical assistance contributions from at least 100 subcontractors on applying SUMP approaches, tools and methodologies in planning practice
- At least 30 cities to formally adopt an SUMP
- In addition, at least 200 mobility experts will receive travel cost reimbursement for attending SUMPs-Up activities.

Description of work and role of partners

WP6 - SUMPs-UP Innovation Pilot Pool [Months: 1-42]

POLIS, ICLEI EURO, CITY OF TURKU, EUROCITIES ASBL, RUPPRECHT, WI, Cerema

SUMPs-Up will set up an Innovation Pilot Pool (IPP) to enable concrete support to SUMPs-Up to define and test its products and services to develop, implement, finance, enhance or evaluate SUMPs. The IPP will issue calls for technical assistance from subcontracted expert actors that are active in a city context. Subcontractors may include, for example, planning authorities, local and regional stakeholders or mobility expert organisations. The IPP will seek assistance from at least 20 subcontractors to address the full set of SUMP tools and services developed by the project, collect inputs from at least 100 subcontractors for selected and targeted SUMP development and/or implementation tools and services. At least 200 mobility experts will get the opportunity to participate in SUMPs-Up activities by means of covering travel costs. Together this leads to a minimum of 300 actors supporting SUMPs-Up by means of the IPP.

The IPP will also enable SUMPs-Up to collect inputs for WP4's capacity building activities - especially the closely facilitated ULAs - which will provide support on the planning tools (based on WP2 outcomes); measure implementation tools (based on WP3 outcomes), and also national peer-to-peer exchange (based on WP5 outcomes). The inputs from the IPP subcontractors may, for example, help SUMPs-Up to develop those tools that raise awareness about SUMPs and prepare for the start of a development process; address specific challenges related to SUMP measures; and give tailored guidance throughout several stages of SUMP development and implementation. In the long run, the IPP will increase the project's outputs leverage factor by providing tools and services that are truly co-created, effective and proven in practice and showcasing best practices to other actors in Europe aiming to develop and implement SUMPs.

Task 6.1 IPP concept and approach (lead: Polis; support: EUROCITIES, WI, RC)

A clear concept and approach for the IPP will allow it to become a practical instrument for SUMPs-Up to establish practical SUMP tools and services. The structure of the IPP programme will be developed on the basis of WP1's Needs Assessment. The IPP will develop a pro-active approach for generating valuable inputs from expert mobility actors responding to the different needs of planning authorities (and stakeholders) as identified in WP 1.

The specification of call topics and the methodological focus will result in the following categories of activities:

Cat. 1 Initiating SUMP-based thinking and prepare for the SUMP development process (WP2,3)

Testing concepts, approaches, tools and methodologies relevant for planning authorities that are at the start of the SUMP planning cycle, that are experiencing difficulties with 'getting started', and/or have successfully completed the first quarter of the SUMP planning cycle.

Cat. 2: Advancing in the SUMP process and ensuring progress (WP2)

Focus on putting tools and services to the test that have been collated in WP2's planning support, addressing horizontal planning issues such as vision-building, public involvement, financing, institutional cooperation, and evaluation and monitoring.

Cat. 3 Addressing specific measure-related challenges (WP3)

Provide support to tools and services developed in WP3 activities and assist SUMP-UP to understand the integration of specific packages of measures into a SUMP planning approach. These packages will be related to policy objectives such as energy efficiency, economic development, quality of life, etc.

Cat. 4 Integrated SUMP cycle support and impact assessment (WP2/3)

A limited number of subcontractors will be selected at the start of the project to examine planning practices throughout several stages of SUMP development until plan completion. A comprehensive impact assessment and process evaluation will also be piloted (with WP7).

Cat. 6 National take-up (WP5)

For countries where take-up is low and a national framework is missing, the IPP will seek technical assistance to support take-up by relevant national authorities and stakeholders.

Based on this first structure, the WP6 leader will further develop the IPP concept and the respective support and technical assistance possibilities in cooperation with WP1 (Identifying the needs of take-up cities); WP2 (Planning-process support); WP3 (Measure support); and WP5 (national take-up), resulting in the IPP's detailed Terms of Reference (ToR). These will include detailed objectives; different support formats and concepts; methodologies; timeline; evaluation; and subcontractors selection procedure (including the role of the Agency or EC in confirming each IPP call's confirmed subcontractors); financing; promotion; and reporting and quality management assurance procedures.

Evaluations of the received quotes will be completed by the SUMP-UP WP leaders, who will present a proposal for subcontracting to the Agency/EC for approval within two weeks after the call closure. Within the week after the Agency's/EC's response, the tenderers will be informed about the results.

Task 6.2 Calls management (lead: Polis; support: Rupprecht, UBC)

The ToR will be the basis for three annual calls – in line with the planning of development of SUMP-UP tools and services, starting based on the first outcomes of WP1 (M6) to enable intensive activity throughout the project, and ending six months before the end of the project to enable proper reporting and results analysis. Each call will be announced one month in advance through relevant channels (city network partners, Eltis, CIVITAS, EPOMM, etc.).

Call documents (ToR, Frequently Asked Questions) will be made available on the day the call opens, together with an online form, to enable a smooth tender process. A helpdesk to create a direct connection to the IPP management will be established by the task leader. This form will be accessible through the Eltis and SUMP-UP website. The IPP will allow tenders of individual and joint subcontractors. The working language will be English. SUMP-UP will ensure compliance with public sector tendering rules and award subcontracts based on best value for money principles.

The selected tenderers will commit to completing the activities e.g. delivering a feasibility study, best practice study, or assessment report by means of a subcontract and a letter signed by an executive representative of the subcontractor to ensure commitment.

In parallel to the annual calls, SUMP-UP may consider developing a series of on-call, ad hoc tenders for technical assistance.

Also a travel support facility will be established as part of the IPP, which will allow mobility practitioners to participate in WP4 activities (ULAs, workshops etc.). Planners interested in attending these events can apply for reimbursement of travel costs.

Task 6.3 Activity management and quality control (lead: Polis; Participants: Rupprecht, ICLEI, WI)

Once the formalities for a call have been completed, the subcontractors will need to be monitored. This monitoring will go beyond simply administrative follow up; the successful tenderer will need to provide content-related updates and share preliminary and final results by actively engaging in WP4's ULA activities. SUMP-UP partners will split responsibilities for controlling proper monitoring in WP 4.

The quality of the technical assistance's process and outputs will also be monitored in close cooperation with WP7. The IPP envisages four types of outputs:

- Increased knowledge: active contribution and assistance to improve tools, methodologies and processes collated and/or developed by SUMP-UP;
- Improved procedures: active contribution and assistance to the SUMP-UP activities aimed at establishing and confirming procedures for decision-making, financing, evaluation, etc;
- Policy documents and strategies: development of policy documents and strategies that are linked to aspects of establishing and implementing SUMP-UP and can be used as pilot case-studies in SUMP-UP;
- Integrated take-up trajectories: processes supporting the combination of the three aforementioned elements.

IPP subcontractors will be asked to produce studies focusing on process and outputs. These reports will be analysed by WP5 and WP7, and commented on generally by all the WP leaders, resulting in a quality-assured IPP documentation that includes both the reports and general information about the implementation of the call. These studies will, in addition to the general documentation of the local process, also include an analytical chapter highlighting planning challenges, measure-related issues and issues of national relevance. All of this information will be mainstreamed in the SUMP-UP tools and services. WP6 will summarise lessons learned in the IPP final brochure, produced at the end of the project, which will link the initial user needs to the IPP outputs.

Participation per Partner

Partner number and short name	WP6 effort
1 - ICLEI EURO	3.00
2 - POLIS	14.00
3 - CITY OF TURKU	1.00
4 - EUROCITIES ASBL	1.00
5 - RUPPRECHT	4.00
7 - WI	2.50
8 - Cerema	1.00
Total	26.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D6.1	IPP Terms of reference	2 - POLIS	Report	Public	6
D6.2	Call documents	2 - POLIS	Report	Public	30
D6.3	IPP Documentation	2 - POLIS	Report	Public	40
D6.4	SUMPs in Action – IPP results brochure	2 - POLIS	Report	Public	42

Description of deliverables

D6.1 : IPP Terms of reference [6]

POLIS will develop the IPP concept and the respective support and technical assistance possibilities in cooperation with WP1 (Identifying the needs of take-up cities); WP2 (Planning-process support); WP3 (Measure support); and WP5 (national take-up), resulting in the IPP's detailed Terms of Reference (ToR). These will include detailed objectives; different support formats and concepts; methodologies; timeline; evaluation; and subcontractors selection procedure (including the role of the Agency or EC in confirming each IPP call's confirmed subcontractors); financing; promotion; and reporting and quality management assurance procedures.

D6.2 : Call documents [30]

Call documents (ToR, Frequently Asked Questions) will be made available on the day the call opens, together with an online application form, to enable a smooth application process. A helpdesk to create a direct connection to the IPP management will be established by the task leader. This form will be accessible through the Eltis and SUMP-UP website. The IPP will allow applications of individual and joint subcontractors.

D6.3 : IPP Documentation [40]

Development of policy documents and strategies that are linked to aspects of establishing and implementing SUMPs and can be used as pilot case-studies in SUMP-UP.

D6.4 : SUMP in Action – IPP results brochure [42]

WP6 will summarise lessons learned in the IPP final brochure, produced at the end of the project, which will link the initial user needs to the IPP outputs.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS19	Selection of successful applicants approved for Call 1	2 - POLIS	8	Written approval by the EC
MS20	Selection of successful applicants approved for Call 2	2 - POLIS	20	Written approval by the EC
MS21	Selection of successful applicants for call 3	2 - POLIS	32	Written approval by the EC

Work package number ⁹	WP7	Lead beneficiary ¹⁰	7 - WI
Work package title	Process monitoring and impact evaluation		
Start month	1	End month	42

Objectives

MAIN OBJECTIVE:

- Conduct research on SUMP benefits by monitoring its implementation and evaluating its effects on governance structures and mobility planning, and optimise SUMP support activities by evaluating the project's take-up support mechanisms, its tools and guidance.

SPECIFIC OBJECTIVES:

- Process monitoring of the SUMP development to assess the effects of SUMP on local governance and mobility planning in the Innovation Pilots;
- In-depth analysis of SUMP impact on policy processes, mobility planning and measure implementation in 10 selected Innovation Pilots;
- Contribute to the knowledge base and generation of evidence on SUMP effectiveness to drive more sustainable transport planning;
- Assess whether SUMP-UP delivers on the needs of cities to accelerate SUMP take-up;
- Monitor the (in)direct impacts of SUMP-UP activities to fine-tune project activities to increase SUMP-UP's leverage factor.

Description of work and role of partners

WP7 - Process monitoring and impact evaluation [Months: 1-42]

WI, ICLEI EURO, RUPPRECHT

WP7 will monitor and evaluate the project impacts on different levels: The first level (T7.1) will answer the research question: "What effects does the SUMP procedure have on mobility planning practices in cities?" This will include an analysis of the changes in governance structures and improvements in a city's transport system based on the measures selected in the final plan. The subject of the analysis is the Innovation Pilots. Changes in planning practices in these pilots will be assessed by an ex-ante and ex-post mobility planning self-assessment. 10 innovation pilots will undergo an in-depth process and impact evaluation where institutional arrangements, governance structures and stakeholder involvement will be evaluated, and potential effects of SUMP implementation on key sustainability criteria will be assessed ex-ante.

The second level targets SUMP-UP's capacity-building, support and cooperation activities (T7.1/2), in order to address the question "Do the SUMP-UP activities appropriately address the key requirements for take-up?" The task will assess whether SUMP-UP fulfils the take-up needs identified in WP1, allow the fine-tuning and steering of these activities, optimising their results and providing recommendations for follow-up activities. SUMP-UP is designed to be flexible and dynamic, allowing it to react to evolving barriers and the exact take-up needs of cities. An interim evaluation will act as a basis from which the project can optimise its activities, and a final evaluation will feed into recommendations for follow-up activities.

Task 7.1 City-level SUMP monitoring and impact evaluation (lead: WI; support: RC, Polis, Triv, UBC)

Task 7.1.1. Monitoring and evaluating the SUMP process in Innovation Pilots

This task will develop one monitoring and evaluation framework that will be applied to all innovation pilots. Therefore, the SUMP Self-Assessment Scheme developed in the CH4ALLENGE project will be adapted to assess mobility planning practices in cities at the moment they join the project ('before' assessment) and towards the end of the project when the cities proceed towards a SUMP adoption ('after' assessment). Results of the 'before' and 'after' comparison will uncover the changes in mobility planning practices due to SUMP introduction or extension. In addition to an adapted version of the SUMP Self-Assessment questionnaire, key indicators such as number of participatory events, public information events, and inter-department meetings will be collected. Reports on supported activities (WP6) will be analysed to monitor the accomplishments and to identify challenges and success factors in the SUMP process faced by the Innovation Pilots. WP7 will contribute to the development of this reporting and review template in cooperation with WP6. The monitoring and evaluation of Innovation Pilots will be conducted in close cooperation with T4.1 (ULAs) and surveys will also be integrated in the online learning platform. The mobility planning self-assessment will also contribute to the update of the SUMP take-up Status Reports (see WP1).

Task 7.1.2 Detailed impact assessment for 10 SUMP-cycle supported cities

An additional module in the monitoring and evaluation framework will conduct a detailed impact assessment of 10 cities. Key selection criteria for these cities include that they will complete at least two of the four phases of the SUMP planning cycle over the course of the project and/or will commit to developing a SUMP ready for adoption by M36. Furthermore, the selection will be based on the cities' ambition and their willingness to contribute to evaluation activities. The cities that will be subject to the detailed assessment will be selected in cooperation with WP6, from the mobility actors responding to the needs under "Integrated SUMP cycle support" (Cat. 4).

This more detailed SUMP process monitoring and evaluation and effect on governance structures in these 10 pilots will be facilitated by guided interviews. Three guided interviews per city will be conducted consecutively during different stages of their SUMP development. Besides telephone interviews, face-to-face interviews will take place at SUMP-Up events and one visit is foreseen per city to reach relevant stakeholders within the city. The interviews will focus on whether the SUMP process induced changes in the governance structure and mobility planning. The final mobility plan or key elements thereof will be subject to an ex-ante impact assessment to evaluate the potential effect of the selected measures/measure packages on key sustainability criteria (e.g. emissions, energy consumption, quality of life, mobility costs, accessibility, etc.).

WP7 will analyse and synthesise the monitoring and evaluation results in a scientific report. The results will provide a unique insight into the actual SUMP effects on various levels and reveal if a SUMP will change mobility planning practices in cities, for example, in terms of governance structures and measure selection. Differences in the cities' key characteristics such as size and socio-economic factors will be considered.

Task 7.2 Project level take-up monitoring and evaluation (lead: WI; support: ICLEI, RC, Polis, CEREMA, Triv, UBC, Eurocities)

The SUMP-Up capacity-building, support and cooperation activities will be continuously monitored and evaluated to maximise their impact on SUMP take-up. In cooperation with WP leaders, WP7 will formulate key performance indicators on WP level and activity level. The indicators will reflect to what extent the project successfully addressed the barriers and take-up needs identified in WP1. Each indicator will be operationalised and WP7 will prepare a monitoring and evaluation plan based on quantitative criteria (e.g. download figures of materials, number of participants) and qualitative criteria (e.g. satisfaction with the content/organisation, usefulness of the content). Different methods will be applied to collect the necessary data. Questionnaires will be circulated among subcontractors, mobility practitioners, training and e-learning participants and national stakeholders to assess the participant's satisfaction and their estimation on the activities' influence on their future planning processes. The Innovation Pilot Poll (IPP) will be evaluated based on the review of the reports (see T7.1). WP-leaders will be responsible for data collection on WP specific activities and meetings.

WP7 will synthesise and analyse the monitoring and evaluation outcomes and feed them back to the project's quality control and risk management (T9.1). There will be steering meetings between WP9 and WP7 to align the evaluation results and increase the project activities' leverage and legacy factors. A mid-term and a final report will be produced based on the monitoring and evaluation results. The reports will reflect whether the project delivers on addressing sectors and regions where SUMP take-up is currently low. Furthermore, policy recommendation and case studies on effective (and less effective) ways to address SUMP take-up needs will be formulated based on the results and taking the outcomes of both tasks into account.

A joint WP1/7/9 interim results report (D7.2) will be prepared, including an assessment of the project's visibility and its influence on take-up among the wider target group of the project (i.e. cities across Europe, experts, national level stakeholders). It will be based on the first results of the T7.1/T7.2, together with the outcomes of T1.1.2 and will be integrated into the project management work (WP9). While the public SUMP take-up Status Report (D1.3) addresses a wider audience of SUMP stakeholders, the interim results reports will be mainly for internal use to optimise project activities.

Participation per Partner

Partner number and short name	WP7 effort
1 - ICLEI EURO	3.00
5 - RUPPRECHT	4.00
7 - WI	15.00
Total	22.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D7.1	SUMPs Status Report	4 - EUROCITIES ASBL	Report	Public	21
D7.2	Interim result report of the city level SUMP monitoring and impact evaluation	8 - Cerema	Report	Public	23
D7.3	Interim result report of the project level SUMP monitoring and impact evaluation	8 - Cerema	Report	Public	21
D7.4	City level monitoring and impact evaluation report: "Influences of SUMP on mobility planning in cities"	8 - Cerema	Report	Public	40
D7.5	Policy recommendations and project level take-up monitoring and evaluation report	8 - Cerema	Report	Public	42
D7.6	Glossy brochure on 5 Case studies of SUMP development and impacts	8 - Cerema	Report	Public	42

Description of deliverables

D7.1 : SUMPs Status Report [21]

The report will be updated together with the first outcomes of the monitoring work of WP7 and the outcomes of the second focus group.

D7.2 : Interim result report of the city level SUMP monitoring and impact evaluation [23]

This task will develop one monitoring and evaluation framework that will be applied to all 100 AF cities, except cities receiving funding under the ongoing support mechanism called micro-funding, where individuals can ask primarily for travel support.

D7.3 : Interim result report of the project level SUMP monitoring and impact evaluation [21]

This deliverable will formulate key performance indicators on WP level and activity level.

D7.4 : City level monitoring and impact evaluation report: "Influences of SUMP on mobility planning in cities" [40]

Synthesis and analysis of the monitoring and evaluation outcomes

D7.5 : Policy recommendations and project level take-up monitoring and evaluation report [42]

A joint WP 1/7/9 interim results report will be prepared, including and assessment of the project's visibility and its influence on take-up`among the wider target group of the project.

D7.6 : Glossy brochure on 5 Case studies of SUMP development and impacts [42]

Policy recommendations and case studies on effective (and less effective) ways to address SUMP take-up needs will be formulated based on the results and taking the outcomes of both tasks into account.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS3	Focus group 2	4 - EURO CITIES ASBL	20	Second focus group meeting at relevant internal or external event.
MS22	City level monitoring and impact evaluation concept completed	7 - WI	9	Final version of the concept
MS23	Project level take-up monitoring and evaluation concept completed	7 - WI	6	Final version of the concept

Work package number ⁹	WP8	Lead beneficiary ¹⁰	1 - ICLEI EURO
Work package title	Communications, dissemination and exploitation		
Start month	1	End month	42

Objectives

MAIN OBJECTIVES:

- To raise awareness of SUMP's-Up and its support activities, and publicise its valuable products. WP8 will provide support for the SUMP's-Up activities and has a focused role in the dissemination and exploitation of its results.

SPECIFIC OBJECTIVES:

- Developing a communications strategy;
- Creating digital and social media channels, and communications materials;
- Enabling the creation of SUMP's-Up products;
- Developing a dissemination and exploitation strategy for the promotion of SUMP's-Up products.

Description of work and role of partners

WP8 - Communications, dissemination and exploitation [Months: 1-42]

ICLEI EURO, POLIS, CITY OF TURKU, EUROCITIES ASBL, RUPPRECHT, TRIVECTOR, WI, Cerema, TOWL, ADS, Malmö, BKK, SUMC, BCC, THEPTA

Task 8.1 Creating the communication basis (lead: ICLEI; support: Polis, UBC, Eurocities)

Task 8.1.1 Creating the communications strategy

An in-depth Communications Strategy (D8.1) will clearly outline SUMP's-Up's systematic approach to reaching out and communicating to its target audience actions it wants them to take (e.g. register for e-learning courses, tender for the IPP). Through an audience analysis performed in cooperation with WP1's research, the strategy will segment the audience and present the channels used to best reach them. The Communications Strategy will include Editorial Guidelines (D8.2) to be applied across SUMP's-Up printed and online publications. An attractive, modern and authoritative visual identity reflecting the ambition of the SUMP's-Up project and the messages it wants to send will be created as part of this task and applied across all of the project's communications platforms and products.

Task 8.1.2 Setting up and maintaining digital and social media channels

The home of SUMP's-Up will be its website (open-source, secure and user-friendly), displaying news, events, activities and results related to the project. Among others, it will host the SUMP Tool Inventory from WP2; the registry; and provide the space and functionality for WP6's IPP information and tender process. Particular care will be taken to ensure that all SUMP's-Up content is easily accessible and clearly presented on mobile devices such as tablets and smart phones. The website will also link to other CIVITAS 2020 project and Eltis.

SUMP's-Up will utilise social media channels such as Facebook, Twitter, Instagram, LinkedIn and YouTube, and other digital methods - such as blogs, videos, photographs, podcasts - to communicate the project results and activities. An emphasis will be placed on Instagram to establish a new form of communication based on visual elements. Activity targets have been set for all digital communication channels (e.g. 100 tweets and 50 Facebook posts per year).

Both methods and channels will intertwine: Twitter, for example, will be used to send bite-sized announcements of calls; Facebook will be used to present a blog from a city partner on its SUMP development; a podcast posted on LinkedIn will be the catalyst to start discussions on national governance structures; YouTube will show a short film about innovative SUMP measures implemented across Europe; and Instagram will display vibrant images taken by city representatives involved in the project. The project will also harness the reach of existing social media channels created by other mobility projects, many of which – Eltis, SOLUTIONS, CIVITAS, PASTA and European Mobility Week – are already maintained by consortium partners.

Task 8.1.3 Communications materials

This task will produce traditional communication materials (D8.3) such as leaflets, postcards and banners/roll-ups, which will be developed as part of the overall visual identity. Postcards and leaflets will be available in six European languages - English and five other languages of countries where take up is low (WP1). For the final selection of languages, the demands of CPs will also be taken into account. Initial language considerations are Polish, Bulgarian, Hungarian, Spanish and Italian. Distributed at external events and available during SUMP's-Up learning opportunities and workshops for cities (WP4), they will also provide further information about the project and strengthen brand

recognition among stakeholders. The materials will shepherd readers to the website, through a QR code and/or a short web address. More than 2000 leaflets and postcards will be distributed in the course of the project.

A bi-annual SUMP-Up e-newsletter will update stakeholders on project activities, events and results. SUMP-Up will also work with the newsletters of existing mobility projects, such as the Eltis Mobility Update and CIVITAS Newsletter MOVE, to include information on project activities. Vertical Response, an online marketing tool, will disseminate the newsletter and offer innovative data-gathering methods to analyse its reach. Readers will be able to share the content easily over social media.

SUMP-Up will also use press releases during the project. Firstly, sent to specialist online and print publications, they will inform local government professionals of the objectives of the project and its activities. Secondly (in the 25 SUMP-Up-supported cities that are close to adopting their SUMP), sent to regional and local newspapers, aimed at informing citizens of the sustainable urban planning activities being carried out and the SUMP concept – an early form of public engagement. SUMP-Up will advise on the content of the release, but they will be distributed by the cities. Press releases by default will be sent to European urban mobility projects and the European Commission.

Task 8.2 Product development and dissemination(lead: ICLEI; support: RC,UBC,POLIS, EUROCITIES, RC)

Task: 8.2.1 Develop SUMP Tool Inventory and Registry

WP2 is collecting and analysing the best SUMP tools on the market to provide cities with resources that can help them with SUMP development. It will use Eltis as one of the sources, but also submit the results of the analysis to Eltis, providing the urban mobility observatory with a fresh intake of innovative resources. SUMP-Up will go one step further. It will create a SUMP Tool Inventory (D8.4) on its website where cities, based on their SUMP needs and barriers, can receive tailored bundles of tools. Using an advanced search function where users can select the issues they face, or the measures they want to implement, it will present the tools in user-friendly packages. Once this SUMP Tool Inventory is completed, SUMP-Up will offer a technical and functional document to Eltis that will allow it to host the Inventory – enabling the Inventory to have a permanent home beyond the life of the project. Furthermore SUMP-Up will offer a SUMP registry function. This will also be embedded in the SUMP-Up project, where cities can register and showcase their SUMP. It will be suggested that cities base their registrations on the outcomes of the SUMP Self-Assessment Scheme to be able to create a benchmarking mechanism on a voluntary basis.

8.2.2 Develop capacity-building resources

Together with WP4, this task will develop a section on the SUMP-Up website that hosts e-learning (Moodle) modules with resources such as webinars and self-study courses (D8.5). This section will also allow discussion and collaboration between fellow learners by using existing open-source software, such as Moodle. This user-friendly platform will boost cities' understanding of SUMP development and methods, and explain how the collated tools and resources in the SUMP Tool Inventory can be used to accelerate take-up of SUMP.

Task: 8.2.3 Development of results publications

WP leaders will write a number of publications encapsulating the outputs of their activities. This task will create a publications schedule (D8.6) outlining what (e.g. reports, fact-sheets) is to be produced and when, including detailed information on format and layout. Selected publications will also be translated into other languages (3 or 5 depending on the purpose of the publication). These languages will be chosen based on their purpose, also taking into account CPs requirements and countries where the take up is low. For example the implementer's guide is of specific interest for countries where take up is low among many local and regional authorities, particularly where CPs will be multipliers or national meetings will take place. Therefore a possible combination of selected languages could be: Bulgarian, Rumanian, Spanish, Croatian and Hungarian. The planning of the translation will be part of the publications schedule. Foreseen publications include:

D2.2 3 SUMP Guidelines

D2.4 SUMP Innovation fact sheets- Report

D2.5 Update of online SUMP Guidelines- Report

D3.1 Measures and measure packages for inclusion on SUMP-Up- Report

D3.2 Standards for SUMP Action Plan- Report

D3.3 Innovative financing alternatives and procurement procedures for SUMP measures- Report

D3.4 Fact sheets on innovative measures- Report

D4.2 3 ULA Reports- Report

D5.1 SUMP in Member States- Report

D5.2 SUMP support package for national decision-makers- Brochure

D5.3 Specific recommendations for at least 3 advancing countries- Fact-sheet

D6.4 SUMP-Up in Action – Innovation Pilot Pool results- Brochure

D7.1 SUMP-Up Status- Report

D7.2 City level SUMP monitoring and impact evaluation- Report

D7.3 Project level SUMP monitoring and impact evaluation- Report

D7.4 Influences of SUMP on mobility planning in cities- Report

D7.5 Policy recommendations and project level take-up monitoring and evaluation- Report

D7.6 Case studies (5) of SUMP development and impact- Fact-sheet

All publications will adhere strictly to the visual identity standards to ensure brand recognition. This task will create contemporary, professional and authoritative reports with innovative infographics used to present complex data. A tailored Editorial Guidelines document – created as part of the Communications Strategy - will ensure consistency across all English-language publications. All written content will avoid jargon and use clear and plain language enabling all audiences (including non-experts) to understand the project and its successes. The European Court of Auditors ‘Misused English Words and Expressions in EU Publications’ report will form the basis of this approach.

Also the printing of these materials will be organised as part of this WP. SUMP-Up will put an emphasis on online promotion and therefore the amount of printed copies will be minimised.

Task 8.3 External events and specialist publications (lead: Polis; support: ICLEI, UBC, Eurocities)

This task will schedule and monitor the occasions during which SUMP-Up will attend various events and conferences that take place during the European political calendar where they can promote the project, its achievements and its products. Attendance at events will be divided among project partners. ICLEI will select the most appropriate events over a 12-month cycle and allocate a project partner to be responsible for making contact with the event organisers and ensuring SUMP-Up is represented. Travel budget is available for the city networks Polis, EUROCITIES, UBC and ICLEI, supporting the attendance of two events per network per year. However events promotion will not be limited to those events for which SUMP-Up is covering travel. Relevant events include the annual Polis conference; the annual EUROCITIES conference; the annual ICLEI Membership Assemblies; the tri-annual European Conference on Sustainable Cities and Towns; the UITP Thematic Conferences, the annual SUMP conference; the ECOMM (European Conference on Mobility Management) and TRA (Transport Research Arena). The task will also look to place feature articles in specialist transport magazines such as Thinking Highways and Thinking Cities.

Within all WPs SUMP-Up is planning a number of workshops and meetings. Some of them will be open to a wider audience such as the capacity building workshops. These events will also be used as SUMP-Up promotion events, where participants will not only learn about one specific aspect of the project, but will also receive additional information and other engagement possibilities. In addition, SUMP-Up will organise a public event in Brussels, using one of ICLEI's established formats - the “Breakfast @Sustainability's”- and tailor it for the needs of the SUMP-Up dissemination work. SUMP-Up will also organise a final conference, which will be held in line with the already existing European conferences format on Sustainable Urban Mobility Plans (SUMP Conference). This yearly event will be organised by SUMP-Up once. Additional SUMP Conferences may take place through inclusion in the terms of reference of an Innovation Pilot Pool call.

Task 8.4 Exploiting SUMP-Up results and products Task (lead: ICLEI; support: RC)

An Exploitation Strategy (D8.7) will set out how awareness and promotion of the adoption of the SUMP-Up products will take place beyond the lifetime of the project. This task will proactively look to engage and collaborate with existing EU projects, such as Eltis and CIVITAS, where it can host its outputs (which include the SUMP Tool Inventory and the updated of the SUMP Guidelines (WP2)). The exploitation of SUMP-Up products can also include playing a role in sector thought-leadership: for example, the SUMP-Up state-of-the-art assessment of national governance in Member States (WP6) could be the basis for high-level roundtable discussions, organised at the next European Conference on Sustainable Urban Mobility Plans.

Task 8.5 Clustering and liaising with other relevant projects (lead: ICLEI; support ICLEI, RC, Polis, CEREMA, Triv, UBC, Eurocities)

As a key EU-supported mobility project, SUMP-Up will have a seat on the European Platform on Sustainable Urban Mobility Plans' Co-ordinating Group (CG). This group consists of representatives from relevant on-going EU-supported actions. At its bi-annual meetings, group members exchange information and lessons learnt; identify and exploit synergies; agree on common views to inform the further development of the SUMP concept and tools; and assist in the co-ordination of outward presentation of the various initiatives.

If one does not already exist during the bi-annual SUMP CG meetings, SUMP-Up will propose as a permanent agenda point a discussion on reviewing the integration the dissemination and exploitation activities of all the projects represented at the meetings. SUMP-Up will also manage and propose the creation of a joint document (to which all CG members would have access) which shows a schedule of the upcoming activities related to the projects represented in the CG, and how the other projects will mutually support each other (e.g. cross-posting news/events on project websites; synchronised social media promotion (Twitter, Facebook, etc)).

Participation per Partner

Partner number and short name	WP8 effort
1 - ICLEI EURO	22.50
2 - POLIS	2.00
3 - CITY OF TURKU	2.00
4 - EUROCITIES ASBL	2.00
5 - RUPPRECHT	1.00
6 - TRIVECTOR	1.00
7 - WI	1.00
8 - Cerema	1.00
9 - TOWL	0.50
10 - ADS	0.50
11 - Malmö	0.50
12 - BKK	0.50
13 - SUMC	0.50
14 - BCC	0.50
15 - THEPTA	0.50
Total	36.00

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D8.1	Communications strategy	1 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D8.2	Editorial guidelines	1 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D8.3	Communications materials	1 - ICLEI EURO	Report	Public	6
D8.4	Online Tools Inventory	1 - ICLEI EURO	Websites, patents filling, etc.	Public	15
D8.5	Online Tool Registry	1 - ICLEI EURO	Websites, patents filling, etc.	Public	12

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D8.6	Online learning resources	1 - ICLEI EURO	Websites, patents filing, etc.	Public	6
D8.7	Publications schedule	1 - ICLEI EURO	Report	Public	4
D8.8	Exploitation Strategy	1 - ICLEI EURO	Report	Public	24

Description of deliverables

D8.1 : Communications strategy [3]

Through an audience analysis performed in cooperation with WP1's research, the strategy will segment the audience and present the channels used to best reach them.

D8.2 : Editorial guidelines [3]

The Communications Strategy will include Editorial Guidelines to be applied across SUMP's-UP printed and online publications. A visual identity will be created as part of this task and applied across all of the project's communications platforms and products.

D8.3 : Communications materials [6]

This task will produce traditional communication materials such as leaflets, postcards and banners/roll-ups which will be developed as part of the overall visual identity.

D8.4 : Online Tools Inventory [15]

In this deliverable a SUMP Tool Inventory will be created for the SUMP's-Up website, where cities, based on their SUMP needs and barriers, can receive tailored bundles of tools.

D8.5 : Online Tool Registry [12]

Once the SUMP Tool Inventory is completed, SUMP's-Up will offer a technical and functional document to Eltis that will allow to host the Inventory - enabling the Inventory to have a permanent home beyond the life of the project.

D8.6 : Online learning resources [6]

Moodle online learning platform will be developed in the SUMP's-Up website with resources such as webinars and self-study courses.

D8.7 : Publications schedule [4]

This task will create a publications schedule outlining what (e.g. reports, fact-sheets) is to be produced and when, including detailed information on format and layout.

D8.8 : Exploitation Strategy [24]

An exploitation strategy will set out how awareness and promotion of the adoption of the SUMP's-Up products will take place beyond the lifetime of the project.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS24	Policy recommendations and brochure launched	1 - ICLEI EURO	40	As part of the final conference

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS25	Launch of the Website + additional communication channels	1 - ICLEI EURO	3	Website online
MS26	Public event	1 - ICLEI EURO	20	Documentation
MS27	Final conference	1 - ICLEI EURO	42	Documentation

Work package number ⁹	WP9	Lead beneficiary ¹⁰	1 - ICLEI EURO
Work package title	Project management		
Start month	1	End month	42

Objectives

MAIN OBJECTIVE:

- Set up a clear and coherent organisational structure that will enable transparent project communication and decision-making. This will result in efficient consortium management, effective internal communication among consortium members and relevant stakeholders, as well as frequent external communication with the European Commission and other relevant institutions.

SPECIFIC OBJECTIVES:

- Day-to-day management of the project;
- Organising project consortium meetings;
- Supervising the activities and integration of the WPs;
- Managing administrative, financial and contractual obligations, and ensuring that they comply with requirements stipulated in the grant agreement;
- Maintaining regular contact with the EC project officer.
- Finding exploitation possibilities to sustain the project outcomes.

Description of work and role of partners

WP9 - Project management [Months: 1-42]

ICLEI EURO, POLIS, CITY OF TURKU, EURO CITIES ASBL, RUPPRECHT, TRIVECTOR, WI, Cerema, TOWL, ADS, Malmö, BKK, SUMC, BCC, THEPTA

Description of work

Task 9.1 Project coordination (lead: ICLEI; support: RC+ all partners)

WP9 will ensure that the project is managed professionally, transparently and harmoniously, allowing for good communication and cooperation between consortium partners. A collaborative online space that ensures fast, secure file-sharing for both internal and external partners (including the European Commission) will host all financial and technical documents, as well as deliverables. ICLEI will organise and chair consortium meetings, produce minutes and distribute them to SUMP-Up partners throughout the lifetime of the project. ICLEI will do so in close collaboration with RC, who will take over certain tasks. To ensure efficiency and a minimum number of trips for partners, meetings will be held back-to-back as much as possible. SUMP-Up will hold four general assemblies (the first will include the kick-off meeting; another will be aligned with the mid-term meeting; each will include a WP-leader meeting) and two independent WP meetings. The SUMP-Up Advisory Board will participate in the kick-off meeting (held in M3 so that WP1's initial results can be discussed and used to plan the other WPs) and mid-term meeting. All-partner online conferences will take place every 4-6 weeks.

WP9 will lead communications between the consortium, partners and the European Commission. It will also be responsible for the project's financial and administrative management, ensuring that finances are carefully monitored and distributed among partners according to the agreed schedule, and that all relevant reports are prepared.

Task 9.1.1 Project progress monitoring: This task will monitor the input of project partners and ensure that all WPs and related activities are developed and completed in line with the project's timetable. Here the input of WP7 will be crucial and regular exchange between these two WPs will be organised. In the event of misunderstandings or disagreements between project partners, the project coordinator will propose solutions that are acceptable to all parties.

Task 9.1.2 Technical and financial management and reporting: WP9 will collect all the necessary information from partners to prepare all project administrative and financial reports – including information requested by the grant agreement with the European Commission, such as progress and periodic reports; the final report; and review reports to verify consistency with project tasks. WP9 will monitor expenses against the project budget; the administration of contributions to subcontractors and mobility practitioners; and distribution of payments to partners. WP9 will also take care of the preparation and post#processing of European Commission reviews.

Task 9.1.3 Supporting Innovation Pilot Pool management: WP9 will support WP6 in the management of the IPP, taking special care of the mechanism for open calls for technical assistance to SUMP-Up. Furthermore, it will support in

developing transparent procedures for the SUMP's Up IPP in line with the needs of the project with regards to developing SUMP take up tools and services.

Task 9.1.4. Exploring exploitation options

From the start, SUMP's-Up will seek opportunities to exploit results over the project lifetime. The project coordination will therefore seek exchange with other ongoing projects and initiatives and will especially collaborate closely with Eltis and CIVITAS. An overview of options for the project exploitation will be presented at the kick-off meeting. A more precise plan for the exploitation of products and results will then be presented at the midterm review to ensure commitment from all partners to carry out this task and to ensure the plan is followed until the end of the project.

Task 9.2 Quality control and Risk management (lead: ICLEI, support: Rupprecht, WI)

Task 9.2.1 Quality control: The quality control will be carried out in close collaboration with WP7 (T7.2) and will bring these results together with the ongoing project monitoring effort of the project coordination (T9.1.1).

Task 9.3.2 Risk management: A project of this scope and time frame requires an appropriate risk management strategy to plan for contingencies in case the project deviates from its original objectives. Chapter 3.2 contains a list of potential risks and respective mitigation strategies. By means of a risk register, the coordinator will perform regular risk monitoring and reporting in conjunction with the WP leaders.

Task 9.3.3 Advisory board management: An Advisory Board will be established to oversee the work of the consortium, discuss the project timetable and to provide expert feedback on any milestones that have been reached or deliverables that have been produced. Board meeting agendas will be compiled by WP leaders, together with preparatory briefing documents. Action points and conclusions resulting from the discussions will be incorporated into the minutes and, if appropriate, be reflected in the project deliverables.

Participation per Partner

Partner number and short name	WP9 effort
1 - ICLEI EURO	14.50
2 - POLIS	1.50
3 - CITY OF TURKU	1.50
4 - EUROCITIES ASBL	1.50
5 - RUPPRECHT	4.00
6 - TRIVECTOR	1.50
7 - WI	1.50
8 - Cerema	1.50
9 - TOWL	1.00
10 - ADS	1.00
11 - Malmö	1.00
12 - BKK	1.00
13 - SUMC	1.00
14 - BCC	1.00
15 - THEPTA	1.00
Total	34.50

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D9.1	Quality Plan and Risk Management	1 - ICLEI EURO	Report	Confidential, only for members of the consortium (including the Commission Services)	12

Description of deliverables

D9.1 : Quality Plan and Risk Management [12]

This deliverable includes activities for preparing, maintaining and implementing the quality and risk management plan. The quality & risk management plan will describe risk assessment and risk control procedures. Risk assessment will take place at any time of the project and will aim at early identification of risks. Risk control will contribute to monitor identified risks and take all necessary actions to reduce their effects. The basis of risk management will be a risk table, where all risks are listed and classified according to their probability, severity and impact on the project. This table, prepared at the beginning of project and updated with adequate periodicity, will be included in all management reports to the commission.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS28	Kick-off	1 - ICLEI EURO	3	Minutes of the meeting
MS29	GA meetings	1 - ICLEI EURO	11	Minutes of the meetings
MS30	Steering committee meetings	1 - ICLEI EURO	16	Minutes of the meeting
MS31	Mid-term review meeting	1 - ICLEI EURO	21	Minutes of the meeting
MS32	Final meeting	1 - ICLEI EURO	41	Minutes of the meeting

Work package number ⁹	WP10	Lead beneficiary ¹⁰	1 - ICLEI EURO
Work package title	Ethics requirements		
Start month	1	End month	42

Objectives

The objective is to ensure compliance with the 'ethics requirements' set out in this work package.

Description of work and role of partners

WP10 - Ethics requirements [Months: 1-42]

ICLEI EURO

This work package sets out the 'ethics requirements' that the project must comply with.

List of deliverables

Deliverable Number ¹⁴	Deliverable Title	Lead beneficiary	Type ¹⁵	Dissemination level ¹⁶	Due Date (in months) ¹⁷
D10.1	H - POPD - GEN - Requirement No. 1	1 - ICLEI EURO	Ethics	Confidential, only for members of the consortium (including the Commission Services)	4

Description of deliverables

The 'ethics requirements' that the project must comply with are included as deliverables in this work package.

D10.1 : H - POPD - GEN - Requirement No. 1 [4]

Details on the procedures and criteria that will be used to identify/recruit research participants must be provided. Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans. Templates of the informed consent forms and information sheet must be submitted on request. The applicant must clarify whether children and/or adults unable to give informed consent will be involved and, if so, justification for their participation must be provided. Details on incidental findings policy must be provided. Copies of ethics approvals for the research with humans must be submitted. Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation. Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be submitted on request. Copies of opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority must be submitted (which ever applies according to the Data Protection Directive (EC Directive 95/46, currently under revision, and the national law). If the position of a Data Protection Officer is established, their opinion/confirmation that all data collection and processing will be carried according to EU and national legislation, should be submitted. Justification must be given in case of collection and/or processing of personal sensitive data. Templates of the informed consent forms and information sheet must be submitted. The applicant must explicitly confirm that the data used are publicly available. The applicant must provide a thorough analysis of the ethics issues raised by this project and the measures that will be taken to ensure compliance with the ethical standards of H2020.

Schedule of relevant Milestones

Milestone number ¹⁸	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
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1.3.4. WT4 List of milestones

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS1	Online Survey closed	WP1	4 - EURO CITIES ASBL	8	The online survey will collect broad and comparable data on local mobility planning practices and the SUMP take-up needs of at least 300 planning authorities.
MS2	Focus group 1	WP1	4 - EURO CITIES ASBL	10	First focus group meeting at relevant internal or external event.
MS3	Focus group 2	WP1, WP7	4 - EURO CITIES ASBL	20	Second focus group meeting at relevant internal or external event.
MS4	Definition of the 50 best SUMP tools	WP2	5 - RUPPRECHT	6	List of 50 best tools
MS5	Technical and content specifications for SUMP tool inventory finalised	WP2	5 - RUPPRECHT	12	Documents handed over to WP8
MS6	Confirmation of SUMP innovations in each partner city	WP2, WP3	5 - RUPPRECHT	6	Online meeting with CP partners
MS7	Second, rapid review of SUMP tools	WP2	5 - RUPPRECHT	30	Update of the tool inventory
MS8	Long-list of identified mobility policy fields and measures	WP3	6 - TRIVECTOR	8	Document with the list handed over to WP2
MS9	Input to the SUMP Tool Inventory	WP3	6 - TRIVECTOR	12	Input document ready handed over to WP2
MS10	Workshop on financing and procurement	WP3	6 - TRIVECTOR	24	Workshops minutes
MS11	Input to update of guidelines	WP2	5 - RUPPRECHT	35	Updated document
MS12	Launch of 1st call ULA's	WP4	3 - CITY OF TURKU	10	Meeting minutes
MS13	Launch of 2nd call ULA's	WP4	3 - CITY OF TURKU	18	Meeting minutes
MS14	Launch of 3rd call ULA's	WP4	3 - CITY OF TURKU	30	Minutes meeting

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS15	Launch of capacity building programme	WP4	3 - CITY OF TURKU	7	Programme of the first workshop
MS16	Classification of the national contexts	WP5	8 - Cerema	10	Matrix document on the classification
MS17	Launch of European exchange workshop	WP5	8 - Cerema	12	Invitation + agenda
MS18	Launch of national exchanges	WP5	8 - Cerema	15	Invitation + agenda
MS19	Selection of successful applicants approved for Call 1	WP6	2 - POLIS	8	Written approval by the EC
MS20	Selection of successful applicants approved for Call 2	WP6	2 - POLIS	20	Written approval by the EC
MS21	Selection of successful applicants for call 3	WP6	2 - POLIS	32	Written approval by the EC
MS22	City level monitoring and impact evaluation concept completed	WP7	7 - WI	9	Final version of the concept
MS23	Project level take-up monitoring and evaluation concept completed	WP7	7 - WI	6	Final version of the concept
MS24	Policy recommendations and brochure launched	WP8	1 - ICLEI EURO	40	As part of the final conference
MS25	Launch of the Website + additional communication channels	WP8	1 - ICLEI EURO	3	Website online
MS26	Public event	WP8	1 - ICLEI EURO	20	Documentation
MS27	Final conference	WP8	1 - ICLEI EURO	42	Documentation

Milestone number ¹⁸	Milestone title	WP number ⁹	Lead beneficiary	Due Date (in months) ¹⁷	Means of verification
MS28	Kick-off	WP9	1 - ICLEI EURO	3	Minutes of the meeting
MS29	GA meetings	WP9	1 - ICLEI EURO	11	Minutes of the meetings
MS30	Steering committee meetings	WP9	1 - ICLEI EURO	16	Minutes of the meeting
MS31	Mid-term review meeting	WP9	1 - ICLEI EURO	21	Minutes of the meeting
MS32	Final meeting	WP9	1 - ICLEI EURO	41	Minutes of the meeting
MS33	Development of 3 SUMP Guidelines	WP2	5 - RUPPRECHT	16	Development of 3 SUMP Guidelines

1.3.5. WT5 Critical Implementation risks and mitigation actions

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
R1	Low response rate in city survey causing insufficient evidence base for clustering of take-up needs and city types	WP1	<ul style="list-style-type: none"> - Expanding survey promotion by further activating city network members; raising promotion levels by advertising survey through larger mix of online and offline promotion channels - Implementing participation mechanisms, e.g. participating in certain SUMP-Up activities requires taking the survey - Strong engagement of the IPP planning authorities; all being required to complete survey will create a first, solid evidence base
R2	Clustering of take-up needs does not represent actual take-up needs of planning authorities	WP1	<ul style="list-style-type: none"> - Survey (n=300) will ensure representativeness of results to a very large degree; survey will be complemented by qualitative formats (focus groups, interviews) to verify derived results and reveal additional take-up needs - Dynamic project design allows tailoring focus of financial and support activities to be tailored throughout the project lifetime (e.g. in IPP calls, ULAs, national activities)
R3	SUMP Tool Inventory not offering the tools of greatest relevance for SUMP development	WP2	<ul style="list-style-type: none"> - Detailed analysis of tool 'market', assessment of each tool and Suitability Check will ensure thorough selection of tools - Tool selection in close cooperation with city partners to confirm the relevance of tools in day-to-day transport planning - Discussion of tools in Urban Learning Alliances planned as an improvement-mechanism; based on ULA feedback, SUMP tool selection can be adapted where needed - Feedback and rating features in SUMP Tool Inventory will

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			ultimately unveil relevance of tools; in case of negative feedback, an analysis of reasons will be conducted and, if required, tool will be replaced
R4	Overrepresentation of commercial products in SUMP Tool Inventory	WP2	<ul style="list-style-type: none"> - Close cooperation with city partners to promote only those tools in the Tool Inventory that are considered extremely useful in SUMP development - Main focus of tool identification will be on public/ creative common tools; no promotion of single tool providers in Tool Inventory, only of tool areas (e.g. modelling software, geographic information systems, but not of companies)
R5	Little use of SUMP Tool Inventory/ low number of visitors	WP2	<ul style="list-style-type: none"> - Development of Tool Inventory in early project state to ensure large-scale promotion of tool by project partners - Integration of SUMP Tool Inventory with all its features into ULA and capacity building activities - Building tool inventory so that it can be easily embedded into major sustainable mobility website with high numbers of visitors, e.g. Eltis and Civitas
R6	Delay in confirming and planning of SUMP Innovations of partner cities	WP2, WP3	<ul style="list-style-type: none"> - Confirmation of SUMP Innovations early in the project, discussion of innovations already at first Consortium Meeting - Development of SUMP Innovation descriptions (D2.3) for controlling purposes also; D2.3 will act as project management framework to help cities planning their schemes; staying organised; defining local contingency actions in case of risks - Supervision of and strong support for

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			SUMP Innovations by the project's support partners
R7	City partner not able to carry out SUMP Innovation/ scheme stopped for an indefinite period	WP2, WP3	- SUMP Innovation descriptions to identify local challenges early in scheme preparation/ implementation and adapt the work plan where required; also to keep track of goals and progress and compare planned and actual achievements - Supervision of city partners with regular progress checks to identify local risks as early as possible; if implementation is considered unfeasible by local partners and project consortium, alternative options will be assessed
R8	Difficulties to identify innovation factors after scheme completion	WP2, WP3	- Definition/confirmation of innovation potential early in project (e.g. in innovation pitches); if proposed value uncertain/ unclear, city partners will need to re-focus - Close monitoring of how schemes develop, strong guidance in case SUMP Innovation is at risk of becoming less innovative
R9	Measure guidance does not match city types and their needs	WP3	- Intensified cooperation with other work packages for feedback on needs and interests from cities - Discussions in ULAs as improvement-mechanism; provision of feedback on relevance and application of measures within certain city types.
R10	Lack of comprehensiveness of WP as cities show interest in very specific mobility policy areas only	WP3	- Intensified cooperation with other work packages to steer coverage of mobility topics addressed, e.g. in the definition of focus areas of IPP calls - Consortium to steer content development if work in mobility policy areas becomes too one-sided; achieving balance in content taught especially in ULAs (e.g. mandatory

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			modules on certain umbrella topics)
R11	Difficulties to appropriately group IPP applicants to their needs	WP4	- Selection of successful planning authorities, local and regional stakeholders or mobility expert organisations in line with ULA concept and in close cooperation with ULA facilitators - Project-internal feedback loop about grouping before official announcement of ULA groups - Flexible ULA approach giving participating cities always the possibility to swap between ULAs, if needed
R12	Changes in personnel in active cities	WP4	- Definition of a second contact person in active involved cities from beginning; regular updates about progress so that person can take over if required; sound documentation of all activities
R13	Low participation of a city in ULA activities/ risks of drop out	WP4	- Clear guidance and transparent communication about minimum activity levels expected in ULAs to be set out in curricula - ULA concept will include participation thresholds to ensure efficient operational procedures; will give guidance in what cases re-grouping is required - Individual assessment of cases if city shows extremely low performance in ULAs; if low performance continues after repeated encouragement, possible implications on funding
R14	IPP authorities expectations of ULAs not fulfilled	WP4	- Learning curricula will set out teaching, support and monitoring activities and be transparent about what to expect - Curricula will keep flexibility for adaptation though; constant quality

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			control and opportunities for feedback by ULA participants will allow responding to training and support needs within the ULA's learning programme
R15	Variance in interests/ frameworks for sustainable mobility, causing difficulties to bring all MS on board	WP5	- Close cooperation with DG MOVE, organiser of the "Expert Group Urban Mobility" - Joint development of expectation horizon together with MS; subsequently, clear communication of roles and objectives - Meeting agendas will be designed so that they cater for all interests and SUMP framework levels
R16	In-complete attendance of MS (e.g. clashing obligations, low priority)	WP5	- Scheduling of regular meetings, agreeing on dates transparently and very early with all MS - Thorough documentation of meetings for all MS, opportunities to provide written feedback/ additions - Clear concept and objectives to be jointly agreed on at first meeting(s) so that Working Group is of interest to all MS
R17	Lower number of IPP applications (planning authorities, local and regional stakeholders or mobility expert organisations) than expected	WP6	- Well-organised call procedures with comprehensive call specifications, a user-friendly submission system and sufficient time periods for application -Focus of calls based on results of needs assessment to ensure that call topics are of great interest to planning authorities, local and regional stakeholders, mobility expert organisations and national actors - Increase in promotional activities in case of low application rate
R18	Low quality of submitted IPP applications	WP6	- Applicants will be provided with clear guidance on requirements and quality expectations in

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			the technical specifications of the call; the call management team will take stock of questions and publish Frequently Asked Questions; it will also make successful applications available as examples for new applicants
R19	Low performance of funded applicant	WP6	Development of clear criteria that qualify for receiving financial support; selection of the most motivated applicants only, who provide evidence for commitment and high-quality management/ implementation of the funded activity Close monitoring of funded applicants detecting low performance very early (reports, WP 7 monitoring, ULA quality control)
R20	Lack of local data and information for impact assessment	WP7	- Application forms for IPP subcontractors will ask for information on city data availability and the ToRs for IPP Integrated SUMP cycle support will oblige cities to share respective data - Selected subcontractors will provide the cities with detailed information about the monitoring “programme” they will undergo and what information they are expected to provide; alternative options will be assessed where cities cannot provide certain information; focus of IA might vary between cities (e.g. one more data-related, others with stronger governance focus)
R21	Survey fatigue of applicants leading to low response rates	WP7	- Development of an internal survey schedule to ensure that applicants are approached in appropriate intervals; clear communication of survey obligations to

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			subcontractors - Data collection will involve a mix of survey methods to avoid perceptions of redundancy; smart integration of monitoring into collaboration formats, such as the ULAs (e.g. with polls in webinars)
R22	Lack of full partner support in project dissemination	WP8	- Development of a communication plan which defines dissemination opportunities for each partner and provides clear guidance on project promotion - Offering a great variety of promotional material for various dissemination channels, including social media, and constantly informing partners about new material available
R23	Difficulties in integrating Tool Inventory into Eltis/ Civitas	WP8	- Early collaboration with Eltis/CIVITAS coordinators and web developers to make sure that the SUMP Tool Inventory's architecture can easily be embedded into the other websites' content management systems, if they wish - Integration of a test version of the inventory, including its search functionality, into Eltis/ CIVITAS to detect technical difficulties early in the process
R24	Delays in or low quality of input from project partners	WP9	- Close monitoring of partners' work and progress through regular all-partners telephone conferences; complemented by regular assembly, steering groups meetings and phone conferences. - If necessary, partners will consider transfer of workloads and resources
R25	Conflicts between partners	WP9	- Strong and clear organisational structures and thoroughly defined roles and responsibilities

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			of partners - A Consortium Agreement will be signed by all beneficiaries containing specific sections about conflict resolution and decision-making processes; a 'red-flag' procedure if foreseen
R26	Underspending of the IPP	WP6	- Spending can be balanced across the three calls. If spending would be low in one call, the following call can be increased
R27	Unbalanced spending of the IPP	WP6	- The IPP terms of reference D6.1 will set clear targets about the number of cities with specific characteristics (urban transport needs, planning support needs, geographical location, size). These targets will be monitored. If targets are not met, consecutive calls can be tailored to reach the goals.

1.3.6. WT6 Summary of project effort in person-months

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	WP9	WP10	Total Person/Months per Participant
1 - ICLEI EURO	1	3	2	4	1.50	3	3	22.50	14.50		54.50
2 - POLIS	0.50	3	0	4	4	14	0	2	1.50		29
3 - CITY OF TURKU	0.50	1	1	15	0	1	0	2	1.50		22
4 - EUROCITIES ASBL	7	3	1	4	4	1	0	2	1.50		23.50
5 - RUPPRECHT	4	14	4	8	2	4	4	1	4		45
6 - TRIVECTOR	3	4	12	0	0	0	0	1	1.50		21.50
7 - WI	1	1	1	3	0	2.50	15	1	1.50		26
8 - Cerema	0.50	0	0	0	7	1	0	1	1.50		11
9 - TOWL	0	6	5	3	0.50	0	0	0.50	1		16
10 - ADS	0	6	5	3	0.50	0	0	0.50	1		16
11 - Malmö	0	6	5	3	0.50	0	0	0.50	1		16
12 - BKK	0	6	5	3	0.50	0	0	0.50	1		16
13 - SUMC	0	6	5	3	0.50	0	0	0.50	1		16
14 - BCC	0	6	5	3	0.50	0	0	0.50	1		16
15 - THEPTA	0	6	5	3	0.50	0	0	0.50	1		16
Total Person/Months	17.50	71	56	59	22	26.50	22	36	34.50		344.50

1.3.7. WT7 Tentative schedule of project reviews

Review number ¹⁹	Tentative timing	Planned venue of review	Comments, if any
RV1	20	BRUSSELS	
RV2	38	BRUSSELS	

1. Project number

The project number has been assigned by the Commission as the unique identifier for your project. It cannot be changed. The project number **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

2. Project acronym

Use the project acronym as given in the submitted proposal. It can generally not be changed. The same acronym **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

3. Project title

Use the title (preferably no longer than 200 characters) as indicated in the submitted proposal. Minor corrections are possible if agreed during the preparation of the grant agreement.

4. Starting date

Unless a specific (fixed) starting date is duly justified and agreed upon during the preparation of the Grant Agreement, the project will start on the first day of the month following the entry into force of the Grant Agreement (NB : entry into force = signature by the Commission). Please note that if a fixed starting date is used, you will be required to provide a written justification.

5. Duration

Insert the duration of the project in full months.

6. Call (part) identifier

The Call (part) identifier is the reference number given in the call or part of the call you were addressing, as indicated in the publication of the call in the Official Journal of the European Union. You have to use the identifier given by the Commission in the letter inviting to prepare the grant agreement.

7. Abstract

8. Project Entry Month

The month at which the participant joined the consortium, month 1 marking the start date of the project, and all other start dates being relative to this start date.

9. Work Package number

Work package number: WP1, WP2, WP3, ..., WPn

10. Lead beneficiary

This must be one of the beneficiaries in the grant (not a third party) - Number of the beneficiary leading the work in this work package

11. Person-months per work package

The total number of person-months allocated to each work package.

12. Start month

Relative start date for the work in the specific work packages, month 1 marking the start date of the project, and all other start dates being relative to this start date.

13. End month

Relative end date, month 1 marking the start date of the project, and all end dates being relative to this start date.

14. Deliverable number

Deliverable numbers: D1 - Dn

15. Type

Please indicate the type of the deliverable using one of the following codes:

- R Document, report
- DEM Demonstrator, pilot, prototype
- DEC Websites, patent filings, videos, etc.
- OTHER
- ETHICS Ethics requirement

16. Dissemination level

Please indicate the dissemination level using one of the following codes:

PU Public
CO Confidential, only for members of the consortium (including the Commission Services)
EU-RES Classified Information: RESTREINT UE (Commission Decision 2005/444/EC)
EU-CON Classified Information: CONFIDENTIEL UE (Commission Decision 2005/444/EC)
EU-SEC Classified Information: SECRET UE (Commission Decision 2005/444/EC)

17. Delivery date for Deliverable

Month in which the deliverables will be available, month 1 marking the start date of the project, and all delivery dates being relative to this start date.

18. Milestone number

Milestone number: MS1, MS2, ..., MSn

19. Review number

Review number: RV1, RV2, ..., RVn

20. Installation Number

Number progressively the installations of a same infrastructure. An installation is a part of an infrastructure that could be used independently from the rest.

21. Installation country

Code of the country where the installation is located or IO if the access provider (the beneficiary or linked third party) is an international organization, an ERIC or a similar legal entity.

22. Type of access

VA if virtual access,
TA-uc if trans-national access with access costs declared on the basis of unit cost,
TA-ac if trans-national access with access costs declared as actual costs, and
TA-cb if trans-national access with access costs declared as a combination of actual costs and costs on the basis of unit cost.

23. Access costs

Cost of the access provided under the project. For virtual access fill only the second column. For trans-national access fill one of the two columns or both according to the way access costs are declared. Trans-national access costs on the basis of unit cost will result from the unit cost by the quantity of access to be provided.

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Abbreviations

IPP	Innovation Pilot Pool	No.	Number
CP	City Partner	PC	Project Coordinator
EAB	External Advisory Board	PMs	Person-Months
EC	European Commission	SC	Steering Committee
GA	General Assembly	ToR	Terms of Reference
LA	Local Authority	ULA	Urban Learning Alliance
LoI	Letter of Intent	WP	Work packages

1 Excellence

SUMPs-Up addresses the MG-5.4-2015 call and focuses on its first domain “Promoting take up of the innovative concept of Sustainable Urban Mobility Plans (SUMPs)”. The project will create a SUMP acceleration momentum following a four-step approach – validate, systemise, accelerate, secure – thus generating an effective SUMP take-up process tailored to the specific needs of mobility stakeholders across Europe.



These four take-up steps follow four leading questions:

Validate: *What are the specific barriers planning authorities face in SUMP take-up?*

This is the starting point of SUMPs-Up: creating a solid evidence base through applied, transdisciplinary research, including one of the most comprehensive surveys of SUMP planning authorities ever conducted for this purpose. Continuous monitoring of the SUMP take-up process during the project will create additional understanding of the barriers in SUMP plan preparation and realisation, and how barriers are developing in the longer term. SUMPs-Up will give comprehensive advice to planning authorities on how to overcome frequently diverse and complex SUMP barriers in the future.

Systemise: Which are the most effective tools to overcome SUMP planning and implementation barriers?

SUMPs-Up will identify the most effective planning tools and methods for the SUMP process and give guidance in key topic areas relevant for high-quality, effective and efficient SUMP development. At least 50 hand-selected SUMP tools will be available for mobility planners in an online SUMP Tool Inventory that responds to a city's or region's SUMP-related needs. SUMPs-Up will also ensure that cities develop high-quality content for their SUMP and give guidance in a wide range of mobility policy areas.

Accelerate: How to best support cities to maximise the number of high-quality SUMPs?

Seven City Partners and eight technical expert organisations, including Europe's four major city networks, will reach out to the mobility planning authorities in Europe with the aim of significantly increasing the number of cities actively using and embedding SUMPs into their daily routines. Through its communication, capacity-building and support efforts SUMPs-Up will reach out to more than 600 cities across Europe; train a minimum of 400 mobility experts; and, through an Innovation Pilot Pool, support the development of 100 new quality-assured SUMPs, of which 30 will be ready for adoption by the end of the project.

Secure: How to effectively establish SUMPs as the enduring European planning concept for urban mobility?

SUMPs-Up builds upon existing European initiatives, and will create innovative new products and produce in-depth, insightful reports based on its expert research. SUMPs-Up will develop a thorough and systematic project exploitation strategy that will ensure these results and products are taken-up by cities, regions and other EU projects far beyond its lifetime.

1.1 Objectives

The leading objective for SUMPs-Up is to:

Enable mobility planning authorities across Europe to embrace SUMP as the European-wide strategic planning approach, especially in countries where the take-up is low and the negative effects of transport are severe.

To meet this goal, SUMPs-Up provides a comprehensive programme for accelerating the take-up of SUMPs in Europe that will:

- **Analyse and verify specific take-up needs** for SUMPs in European local authorities;
- Identify the **most effective tools** for SUMP development and actively support their take-up in several types of cities;
- Assist cities in **designing and packaging SUMP policies and measures** to achieve their identified goals;
- Foster **knowledge-transfer** and **peer-to-peer exchange** on SUMP development and implementation
- Maximise the number of **high-quality SUMPs** in Europe;
- **Support national governments** and multipliers in developing facilitating structures for SUMP;
- Highlight SUMP benefits by **evaluating its impacts, and optimise SUMP support activities** by assessing the impacts of the project, its tools and guidance;
- **Actively publicise the SUMP approach** and tools, showcase the learning experience of SUMPs-Up cities;
- **Deliver a high-quality project** with outputs that will continue to have high value following its conclusion.

In the table below these objectives are broken down to specific operational goals with tangible outputs:

SUMPs-Up Objectives	
Operational goals	Tangible outputs
Analyse and verify SUMP take-up needs in European local authorities (WP1)	
<ul style="list-style-type: none"> • Identify local authorities' needs and challenges when developing and 	<ul style="list-style-type: none"> • Collect data from 300 representative cities, conduct 2 focus group meetings and 5 interviews with planning

<p>optimising SUMP;</p> <ul style="list-style-type: none"> Analyse SUMP take-up challenges through qualitative and quantitative research among urban mobility stakeholders/or planning authorities; Further define the core target group (types of cities, local authority employees) where the project will focus its support. 	<p>authorities, and analyse external sources to validate take-up needs;</p> <ul style="list-style-type: none"> Conduct the first official in-depth analysis of results of the SUMP Self-Assessment Scheme¹ on SUMP status in Europe; Identify specific target countries and regions of high take-up priority, and topics with strong support needs (related to SUMP development, implementation, mobility policies); Produce a detailed user needs analysis for take-up.
<p>Identify the most effective tools and methods for SUMP development and actively support their take-up in several types of cities (WP2)</p>	
<ul style="list-style-type: none"> Identify and assess the most effective tools and methods to support and enhance the SUMP planning process; Provide guidance on the top SUMP-friendly planning tools for different local contexts in SUMP-Up learning activities (e.g. Innovation Pilot Pool); Test innovative approaches in SUMP development in SUMP-Up partner cities and encourage replication in other European cities; Increase the SUMP knowledge base and update the SUMP Guidelines, the key SUMP reference document. 	<ul style="list-style-type: none"> Create a comprehensive SUMP Tool Inventory (50+ tools) and accompanying 'Implementer's Guide' to guide different types of cities on tool options; Further develop the SUMP Self-Assessment Scheme and enhance its functionalities (e.g. benchmarking, analyses, user-friendliness); Produce content for over 60 learning activities (see WP 4), advise 100 subcontractors and mobility practitioners on effective SUMP planning; Develop 7 process-related pilot schemes ("SUMP Innovations") in partner cities; Capture the knowledge gained in 1 aggregated SUMP Innovation report, 7 fact sheets and contribute 3 webinars to a webinar innovation series; Update SUMP Guidelines (integration of a minimum of 50 new good practice examples, 50+ tool recommendations, 10 tailored guidance sections for specific city profiles/contexts), 1 new section on SUMP Action Plan development.
<p>Assist cities in designing and packaging SUMP policies and measures to achieve their identified goals (WP3)</p>	
<ul style="list-style-type: none"> Develop methods and guidance material that support cities in their translation of mobility objectives into effective (packages of) measures that consider their specific local preconditions; Develop guidance material that supports cities in plan realisation (e.g. SUMP Action Plan, financing and procurement); Give measure and plan implementation support for different local contexts in SUMP-Up learning activities (e.g. Innovation Pilot Pool); 	<ul style="list-style-type: none"> Develop 7 measure-related pilot schemes ("SUMP Innovations") in partner cities; Capture the knowledge gained in 1 aggregated SUMP Innovation report, 7 fact sheets and contribute 3 webinars to a webinar innovation series; Produce 3 manuals for different categories of cities, differentiated by SUMP experience and maturity levels, covering 11 mobility policy areas; Develop standards for SUMP Action Plans and publish these in a report; Produce brochure "Innovative financing and procurement practice for SUMP implementation"; Produce content for over 60 learning activities (see WP 4), advise subcontractors and mobility practitioners on measure and plan implementation.

¹ The SUMP-Self-Assessment Scheme is an online tool free of charge to assess the compliance of a SUMP with EU requirements, based on the EC's SUMP concept and guidelines as presented in the Urban Mobility Package. The scheme has been developed by Rupprecht Consult and is being disseminated through the project CH4ALLENGE.

<ul style="list-style-type: none"> • Test innovative approaches in SUMP implementation in SUMP-Up partner cities; 	
<i>Foster knowledge-transfer and peer-to-peer exchange on SUMP development and implementation (WP 4)</i>	
<ul style="list-style-type: none"> • Facilitate peer-to-peer exchange in a dedicated team learning programme, the Urban Learning Alliances (ULAs), for subcontractors and mobility practitioners; • Provide tailored capacity-building opportunities open to mobility planners that wish to improve their SUMP skills; • Equip cities with the knowledge and capacity to effectively use SUMP tools and measures. 	<ul style="list-style-type: none"> • Develop 3 interactive learning curricula for ULAs; • Create a unique ULA online platform with 5 virtual classrooms; • Facilitate blended capacity-building for five Urban Learning Alliances (à 20 cities): 15 face-to-face workshops and study visits; 15 support and peer exchange webinars; 15 moderated online courses; at least 10 peer reviews of participating cities; 100 one-to-one expert support sessions; • Develop and implement a capacity-building programme for mobility planners comprising 7 self-study online courses, 6 webinars and 8 face-to-face workshops and study visits.
<i>Support national governments and multipliers in developing facilitating structures for SUMP (WP5)</i>	
<ul style="list-style-type: none"> • Consolidate the need for action at national and European policy levels; • Foster exchange on SUMP between government professionals, central and local governments; • Activate multipliers in target countries to advocate SUMP development. 	<ul style="list-style-type: none"> • Conduct status analysis and summarise results in “SUMP up in Member States” report; • Foster EU-level dialogue on SUMP in cooperation with Expert Group on Urban Mobility (e.g. SUMP as a standard agenda item, establishing SUMP sub-group); • Hold a minimum of 9 national SUMP workshops in countries where SUMP frameworks should be improved; foster SUMP quality control in these countries by using SUMP Self-Assessment Scheme for verification purposes; • Produce 1 SUMP policy paper for national decision-makers.
<i>Maximise the number of high-quality SUMP in Europe (WP6)</i>	
<ul style="list-style-type: none"> • Create a mechanism that allows SUMP-Up to identify and validate the most effective concepts, approaches and methods in SUMP practice, tested by 100 subcontractors. • Offer at least additional 200 mobility practitioners unique opportunities to participate in the project. 	<ul style="list-style-type: none"> • Set-up an Innovation Pilot Pool (IPP) seeking assistance from at least 100 subcontractors and 200 mobility experts. • Collect inputs for WP4’s capacity building activities. • Provide effective and proven tools and services. • Produce studies focusing on process and outputs of IPP’s subcontractors including an analytical chapter highlighting planning challenges, measure related issues and services.
<i>Highlight SUMP benefits by evaluating its impacts and optimise SUMP support activities by assessing the impacts of the project, its tools and guidance (WP7)</i>	
<ul style="list-style-type: none"> • Monitor and evaluate SUMP progress in subcontractors and mobility practitioners; • Assess SUMP impacts in selected project cities; analyse the associated policy processes; • Deepen knowledge of SUMP process impacts, drivers and 	<ul style="list-style-type: none"> • Monitor SUMP progress in subcontractors and mobility practitioners by 100 ex-ante and ex-post checks with the SUMP Self-Assessment Scheme; • Produce scientific in-depth assessment on SUMP impacts in 10 cities; • Produce mid-term assessment on the project’s direct/indirect impacts; • Develop a report on SUMP impacts and policy

barriers; <ul style="list-style-type: none"> Evaluate the project's process and impacts to fine-tune activities and maximise outputs. 	processes, and policy recommendations on SUMP take-up needs.
<i>Actively publicise the SUMP approach and tools and showcase the learning experience of SUMPs-Up cities (WP8)</i>	
<ul style="list-style-type: none"> Reach out to cities interested in developing SUMP by raising awareness of the project and its objectives; Disseminate news of the project's activities and results to internal and external audiences; Communicate interim and final research and results directly to cities' stakeholders. 	<ul style="list-style-type: none"> Develop and maintain the SUMPs-Up website, Facebook (50 posts/year), Twitter (100 tweets/year) and LinkedIn (40 posts/year) accounts; develop and maintain Instagram and Youtube channels; Produce a total of 6 Blogs, videos, sets of photographs or podcasts per year; Disseminate 2000 leaflets and postcards; distribute 7 E-newsletters; Deliver 14 results publications and provide a press corner with at least 6 press releases for local and European media; Organise one public event and a SUMPs-Up conference and ensure representation at over 20 other mobility project events.
<i>Deliver a quality project with outputs that will continue to have high-value following its conclusion (WP9)</i>	
<ul style="list-style-type: none"> Ensure effective and efficient management of the project and the consortium; Ensure exploitation of project results and developed products beyond the project lifetime. 	<ul style="list-style-type: none"> Establish a shared online space as the common document repository and knowledge management tool for project partners; Produce project reports, steering and management documents; Establish an Advisory Board for constant project quality control, including two meetings (kick-off and mid-term).

1.2 Relation to the work programme

Improving the efficiency of urban transport while effectively mitigating the negative effects of transport and enhancing the attractiveness of Europe's urban centres requires a strategic planning approach based on integration, participation and evaluation principles, one that broadly implements sustainable urban mobility policies and measures. Several challenges currently inhibit the Europe-wide take-up of sustainable urban mobility planning, each of which will be addressed by the project. The following overview indicates how SUMPs-Up will help to overcome the major barriers to SUMP take-up in Europe:

1. *While some countries/regions or types of cities already have a well-established transport planning framework, others are currently in the process of establishing such a framework, or have yet to adopt sustainable mobility planning.*



SUMPs-Up will systematically identify the key take-up needs and focus on effectively promoting the take-up of SUMP where it is currently low.

Using the analyses of previous mobility projects as a foundation, SUMPs-Up will enhance the understanding of where SUMP take-up is low by conducting its own robust research. This process will be driven by examining specific regions (e.g. Central and Eastern Europe) and city types (e.g. small and medium-sized cities; special-issue cities). The SUMPs-Up consortium has undertaken a city survey as part of the

preparation of this proposal². The survey shows that SUMP support in planning and measure selection is relevant for all city types but that specific types suffer more from take-up problems than others. As based on our project partners' expert understanding and confirmed by our survey, the key take-up gaps and barriers include: difficulties in SUMP concept promotion; balanced planning for all transport modes; building effective partnerships; establishing innovative two-way communication with citizens and stakeholders; rationally selecting effective measures; and managing monitoring and evaluation. SUMP-Up will systematically research these common barriers (WP1). This will enable the project team to tailor supporting tools and services (WP2-4) to address the most pressing needs of take-up cities. The project will actively raise awareness of SUMP across Europe and will promote the concept through different communication channels online and face-to-face. It will also organise the European SUMP Conference at least once (WP8).

2. *Strategic planning approaches are needed, but many authorities lack the necessary knowledge and capacities for SUMP development.*



SUMP-Up will inspire and help cities to prepare and implement a SUMP through capacity building and exchange opportunities.

SUMP-Up will strengthen planning authorities' knowledge and capacities through peer-to-peer training and mutual exchange in so-called Urban Learning Alliances (ULAs) for the duration of the project. ULAs will provide inspiring team learning opportunities where cities can exchange experiences and address specific SUMP challenges with thematic experts and SUMP experienced cities. Through its ULAs, SUMP-Up will form partnerships between cities with similar characteristics, framework conditions and SUMP development challenges. To foster this exchange, the project will establish:

Virtual learning opportunities: Each ULA will have its own virtual classroom for e-learning and discussions. Each ULA will have a SUMP-Up urban mobility expert as a learning facilitator. Within their ULA, cities will get constant support and mutual exchange may be established on a long-term basis. E-learning and other learning resources will also be offered to individuals interested in SUMP development (such as urban mobility experts), who are not supported by the Innovation Pilot Pool and are therefore not part of a ULA.

Face-to-face capacity-building activities: The ULAs will also include workshops and study visits. Led by SUMP-Up urban mobility experts and supported by City Partners, they will foster exchange between advanced and starter cities and enable peer-to-peer learning (WP4).

3. *SUMP take-up is inhibited by a lack of support for SUMP preparation.*



SUMP-Up will provide technical support for planning authorities, local and regional stakeholders or mobility expert organisations to help them to engage in SUMP preparation processes.

SUMP-Up will boost the large-scale take-up of SUMP by directly supporting 100 cities to develop SUMP and leading at least 30 cities to the formal adoption of a SUMP. The project will set up an Innovation Pilot Pool to provide technical support for concrete actions that help cities in developing, implementing, financing, enhancing or evaluating their SUMP (WP6). The assistance offered to successful tenderers will go beyond the provision of assistance, and is linked to a comprehensive programme of activities carried out in WP2, WP3, WP4, WP6 and WP7. Successful tenderers will be supported and mentored in the Urban Learning Alliances and can build upon the technical expertise of the SUMP consortium.

4. *Many authorities lack the necessary knowledge and capacities for SUMP development.*



SUMP-Up will support cities in selecting appropriate measures, bringing them to action and delivering high-quality SUMP building on a solid methodology.

SUMP-Up will develop focused products that support cities throughout the SUMP process. The project will build on existing resources (e.g. handbooks, tools, e-learning) in developing and disseminating tailored knowledge products (while actively pursuing cooperation with existing support structures). SUMP-Up will

² To enrich the proposal with up-to-date knowledge from practitioners, a sample of mobility planning authorities were asked to fill out a survey on their current SUMP status and challenges, in addition to being approached for a Letter of Intent. The survey was answered by 45 planning authorities from various city types and its outcomes were also used to support the argumentation in this section. The results of the survey are presented in greater detail in section 1.3.

cooperate closely with Eltis³ in gathering and optimising existing sustainable urban mobility planning tools and resources, and strengthen the overall European pool of SUMP resources, through the creation of new guiding structures and products such as:

- SUMP Tool Inventory and Implementer's Guide: SUMPs-Up will assess existing tools, identifying those which can support the take-up of SUMP around Europe (WP2), and collate them in an online inventory. This enhanced product will be made available via the Eltis portal, where it will be hosted permanently; the SUMPs-Up website will mirror this content.
- SUMP measure selection and action-planning guidance: SUMPs-Up will analyse and categorise SUMP implementation measures into strategic packages that match city challenges, and produce guidance on the key challenge of innovative SUMP financing alternatives and procurement (WP3);
- Improved SUMP Self-Assessment: based on the self-assessment tool (developed within CH4ALLENGE) allowing planning authorities to assess their compliance with the EU SUMP Guidelines (for each step and SUMP characteristic), SUMPs-Up will develop comprehensive benchmarking functionality and will work with Member States and EU Institutions (e.g. EBRD, JASPERS) to localise and tailor the tool to their specific contexts, including a non-commercial SUMP certification option.
- SUMP Innovation Factsheets: SUMPs-Up City Partners will perform real-world implementation and assessment of innovative planning tools and measures. The results - summarised in SUMP Innovation Factsheets - will feed back into the inventory and measure support activities (WP2/WP3).

These practical and replicable products will be utilised by the SUMPs-Up ULAs and the capacity-building programme (WP4), and will be disseminated at various events (WP8).

SUMPs-Up is firmly based on the EC's SUMP concept as presented in the Urban Mobility Package and the SUMP Guidelines and will ensure that the mobility plans developed in the framework of SUMPs-Up will be of high quality. The project will monitor SUMP progress of IPP in a two-stage assessment (before and during project engagement) using the SUMP Self-Assessment methodology. This will help cities to identify where they deviate from the SUMP principles (WP7). The project will evaluate the effects of SUMP on local governance and mobility planning and will assess measure impacts to show evidence of the added value of the SUMP concept. The integration of diverse policy fields is an essential part of SUMP development explored in this project. Ensuring that the plan contributes to a range of city objectives, including accessibility, reductions in greenhouse gas emissions, health, environmental quality, climate resilience and social equity, will improve the quality and value of the plan as well as political commitment to its implementation.

Through these support processes SUMPs-Up will ensure that the developed plans build on political consensus; are economically viable; well integrated; able to meet future demands; and deliver on European goals and EU legislation affecting local authorities.

5. *There is a lack of supportive SUMP frameworks in several Member States, which can hamper SUMP take-up at national level.*



SUMPs-Up will activate the national level to develop facilitating structures for SUMP and generate high leverage in regions with unfavourable frameworks.

SUMPs-Up will analyse current national framework conditions, barriers and needs (WP5) and the expected role of national institutions to promote and foster the development of SUMP. SUMPs-Up aims to initiate SUMP exchange at EU policy level by establishing a working group and in parallel, target selected countries with special awareness raising activities and workshops. Besides raising awareness, specific recommendations for the design of SUMP supportive national framework in advancing countries will be developed, taking into account the profile and context of each country. Based on detailed city data from the SUMP Self-Assessment data base, SUMPs-Up will produce annual progress updates on the status of SUMP implementation in EU member states; tailored analyses will be conducted at the request of interested institutions.

³ Eltis is the European web portal on urban mobility. www.eltis.org

1.3 Concept and approach

1.3.1 The SUMPs-Up Concept: Validate – Systemise – Accelerate – Secure

SUMPs-Up follows a four level concept⁴ that is based on

- clearly validated take-up needs, regular progress checks and in-depth SUMP impact assessments;
- systematically collected tools and guidance, validated and adopted to the practical needs of the SUMP target groups and aimed at ensuring SUMP quality;
- accelerated SUMP implementation through tailored (team) learning and capacity building, as well as technical support;
- secured long-term impacts through strategic partnerships, including national actors and other EU initiatives, as well as other measures helping to ensure the durability of the project results after its lifetime.

These four steps, carried out by a first-time alliance of the major urban networks in Europe and their expert support partners will accelerate the take up of SUMPs and will lead to the required long-term commitment to sustainable mobility planning in Europe's local authorities. The four steps build upon and complement each other. At the same time they allow flexibility in project implementation to react to emerging needs of the target groups addressed.

Validate - Generating evidence

SUMPs-Up will base its work on evidence. Knowledge exists within the SUMP community on why take-up is low, and on the challenges and barriers to SUMP preparation and implementation. However, proof in the form of a systematic, empirical evidence base is not available. SUMPs-Up has already undertaken a small-scale survey of 45 planning authorities during the preparation of the proposal. It provides important insights into authorities' planning challenges and confirms the complex combination of factors that prevents the adoption of SUMP principles. Results of the proposal survey have allowed the project team to create a foundation with which it can build a solid, informed project structure and guarantee that the project implementation will start immediately.

In response to the lack of empirical evidence, SUMPs-Up will carry out a second, large-scale survey to verify needs and obstacles faced by mobility planning authorities when developing and implementing SUMPs (WP1) as one of the very first project actions. As the four city networks have a direct communication line to their member cities, SUMPs-Up aims to survey more than 300 planning authorities to create a holistic understanding of the take-up situation across Europe. The combination of these two strands of knowledge will be the first comprehensive investigation on the needs and barriers at local, regional and national levels. The survey research will lead to the identification of specific city profiles with common characteristics and SUMP challenges. All SUMPs-Up knowledge, learning and capacity-building activities will be based on this "city-challenge" typology, prioritised by the need for action to achieve a wide SUMP take-up in those areas where take-up is particularly low.

In addition to the city survey, SUMPs-Up will install mechanisms to monitor and evaluate changes in the mobility planning situation of cities, who will be engaged throughout the project and who will benefit from the project's support and actions (WP 7).

These monitoring results will influence the project's approach – thus establishing a dynamic project with constant self-improvement and knowledge-generation. In addition, all 100 cities will contribute to the freely available SUMP Self-Assessment Scheme, allowing SUMPs-Up to measure progress in compliance generally as well as for specific groups of cities. Furthermore, 10 of these cities will receive special support to undergo an in-depth, long-term evaluation of their SUMP planning processes revealing success factors and barriers in greater detail. All in all, SUMPs-Up validation activities will generate a great set of evidence that will enrich the SUMP concept and stabilise the take-up process in Europe's cities and regions throughout SUMPs-Up and beyond the project's lifetime.

⁴ See graph, p.3

Systemise - Applying knowledge

The SUMP concept is based on new collaboration mechanisms, long-term decision-making, participatory engagement and supportive political commitment to sustainable mobility – a necessary development of planning culture to meet EU 2020 targets. Rather than disregarding different perspectives, it would work in coordination with architects, urban planners, mobility managers, energy providers and transportation departments.

Substantial resources and efforts have been invested into creating a large range of tools and guidance material for SUMP development. The SUMP-Up consortium members have participated in the most relevant European SUMP initiatives over the last decade and created support to navigate planners to this new planning concept (such as in ADVANCE; BENEFITS; CareNorth plus; CH4LLENGE; CIVITAS DYN@AMO; Do The Right Mix; EcoMobility SHIFT; Eltis/EltisPlus; ENDURANCE; Pasta; PolySUMP; QUEST; PUMAS; SOLUTIONS; Urban Transport Roadmap). Yet sustainable urban mobility planning remains a challenge, as mobility planners find it difficult to integrate these resources into their day-to-day transport planning processes and change their working style accordingly. The box on the right hand side shows examples of SUMP tools to be assessed and potentially taken up in the SUMP Tool Inventory. Mobility authorities may sometimes also feel overwhelmed by both the concept and the amount of available, but fragmented material. They struggle to know how to use the resources in their local planning contexts. SUMP-Up believes that existing resources are a valuable source of information, but need to be brought together and further developed to be more user-friendly and tailored to the specific needs of mobility authorities, especially in those areas where take-up is particularly low.

Therefore, SUMP-Up will review, update, and re-organise SUMP tools and other resources into packages that are tailored to the specific needs of the most challenged cities and regions. The Consortium understands ‘tools’ as any resource that enables transport planners to make SUMP development more effective, robust and competent, and that supports strategic decision-making on urban mobility. Tools may include, for instance, planning approaches, methods, instruments, guidance documents (containing e.g. checklists, templates, good-practice examples) or, where relevant, software.

The inventory will contain (as a minimum) the 50 best tools for sustainable urban mobility planning; it will incorporate an innovative search functionality that will pull the appropriate tools according to a city’s needs and package them into easy-to-use kits. This structural innovation, the SUMP Tool Inventory, will for the first time link the scattered outputs and products of EU mobility projects, and beyond, into coherent bundles of solutions (WP2/WP3). The SUMP Tool Inventory will be hosted on the SUMP-Up webpage but programmed so that it can easily be integrated into the Eltis and/or CIVITAS platforms.

The technical experts will be advised by the seven SUMP-Up city partners to ensure that the most important needs of mobility planners are taken into account. Moreover, they will implement “SUMP Innovations in practice” (see City Partner profiles p.14, 15). These are planning-process or measure-related SUMP innovations that involve applying the tools identified and reviewed by SUMP-Up, analysing their impact, and providing critical feedback – thus establishing a unique mechanism that will further improve

Box: SUMP tool examples

Quality assessment: SUMP Self-Assessment (CH4LLENGE), ADVANCE audit, EcoMobility SHIFT methodology, sustainability appraisals

Participatory planning: CH4LLENGE Participation Kit, CEEA Public Participation Guide, online consultation tools, ‘Planning for Real’ technique, local forum methodology (community-based planning)

Regional cooperation: Poly-SUMP methodology, CH4LLENGE Kit on institutional cooperation

Integrated planning: SUMP Guidelines, GPCM Recommendations for Mobility Master Planning

Analysis and modelling: FLOW methodology (integrating walking and cycling into transport modelling software), DEEM Energy and emissions modelling tool (CEREMA), GIS for implementation planning, cost benefit analysis (CBA), multi-criteria analysis (MCA), CH4LLENGE Monitoring and Evaluation Plan template

Measure selection: KonSULT, Urban Transport Roadmaps 2030 tool, MaxExplorer, DfT tools for appraisal of transport policies and interventions

Benchmarking: QUEST audit, BYPAD audit, Eurotest’s Pedestrian Crossings Assessment 2010, NODES Benchmark Tool

the development. SUMP-UP will ensure that all systemisation works will directly respond to the take-up needs identified in the project's research activities (WP1).

Accelerate - Enabling take-up

Although **Accelerate** is the third SUMP-UP step, it already starts with the first contact to cities, immediately following the project's start. Communications activities (WP8) are particularly crucial at this stage to hook cities into participating in the project. Clear, concise and compelling information on the SUMP concept and SUMP-UP activities especially aimed at cities where take-up is low and the consequences of transport are severe will attract and keep them engaged with the project from beginning to end. SUMP-UP has an already-attentive audience thanks to its four city networks and other well-connected partners. Combined, they have direct access to over 2.000 mobility/city development practitioners, who will receive information on SUMP-UP activities regularly.

Figure 1.2 presents the unique coverage of SUMP-UP city networks' member cities across Europe together with the planning authorities that have expressed their interest in participating in SUMP-UP (by providing a Letter of Intent, Lol). The map shows that the project already reaches even beyond city network members and attracts a great variety of planning authorities in Europe.

Cities that submitted a Lol were particularly interested in the SUMP-UP Innovation Pilot Pool (IPP) (WP6), a mechanism that allows identifying and validating the most effective concepts, approaches and methodologies in

SUMP practice for different framework conditions and different types of cities. Support is needed to create a new planning and collaboration culture among mobility planning authorities that puts forward SUMP as the clear long-term planning approach choice. The Innovation Pilot Pool provides a mechanism for open calls for technical assistance to SUMP-UP.

Cities benefitting from the IPP will also participate in Urban Learning Alliances (WP4), peer-to-peer learning hubs that combine elements of mentoring and capacity-building. The SUMP-UP proposal survey indicated already that all Lol cities show strong interest in this project and have great SUMP experience to share – ranging from small-scale SUMP measure innovations (bike sharing schemes) up to the development of regional Sustainable Mobility Plans (e.g. in the Noord-Limburg/Venlo region) and optimising scarce resources for SUMP implementation (such as in Burgas, Bulgaria). This team learning programme will guide 100 cities through SUMP processes and at least 30 of these to an official adoption of a SUMP. The SUMP-UP Innovation Pilot Pool and Urban Learning Alliances will be developed in close cooperation to ensure that the learning curricula fully complements the technical support, and will address the SUMP development process as well as support measure selection and plan implementation (WP2, WP3). SUMP-UP recognises that cities are at different entry points in transport planning and has designed its project structure accordingly. While some planning authorities require support in the development process of a SUMP, i.e. related to SUMP process requirements, other cities need guidance on sustainable mobility policies, i.e. content-related SUMP requirements. SUMP-UP has dedicated two work packages to each entry point: WP 2 for process-support and WP 3 for content-support. In close cooperation, both work packages will develop guidance material and provide support, e.g. to IPP subcontractors (planning authorities, local and regional stakeholders or mobility expert organisations), to improve knowledge and capacities in those topics that

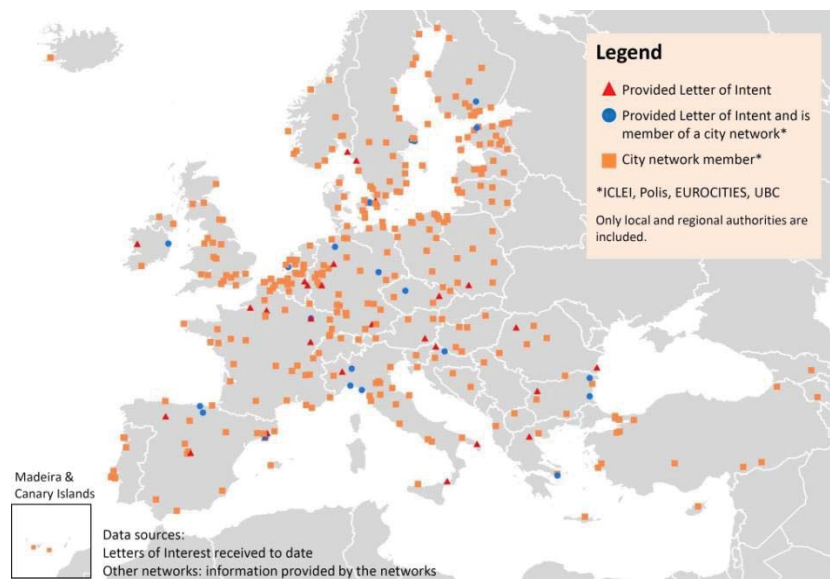


Figure 1.2 Coverage of SUMP-UP's city networks and overview of Letter of Intents submitted by local authorities

are particularly relevant for achieving high-quality SUMP processes (WP 2) and the development and implementation of high-quality SUMP (WP3):

- **SUMPs-Up process-support:** Starting the SUMP process, assessing skills & resources for SUMP development, managing SUMP development, developing scenarios and forecasting transport, building visions and setting targets, engaging stakeholders and citizens, cooperating with other institutional actors, ensuring quality (e.g. process evaluation, auditing), integrating the SUMP with other policies
- **SUMPs-Up content-support:** Methods for selecting integrated sets of measures, SUMP Action Plan development, data acquisition and management, analysis and transport modelling, evaluating progress in SUMP implementation, innovative financing, procurement; support in specific mobility policy areas (e.g. public transport, freight, non-motorised modes, e-mobility, intermodality, transport demand management)

The SUMPs-Up proposal survey confirms that planning authorities are all highly interested in these support areas. Figure 1.2 presents the top five support interests of the 45 cities surveyed during the proposal stage. Results reveal, for example, the strong interest in the SUMP Action Plan development and innovative SUMP opportunities – two topics that have often been neglected in the past and have therefore been taken up in SUMPs-Up’s support concept.

SUMPS-Up Proposal Survey

Question: SUMPs-UP will set up a financial support mechanism for local authorities to improve SUMP development and related mobility policies. In which topic areas would your city be most interested, if applying for funding?

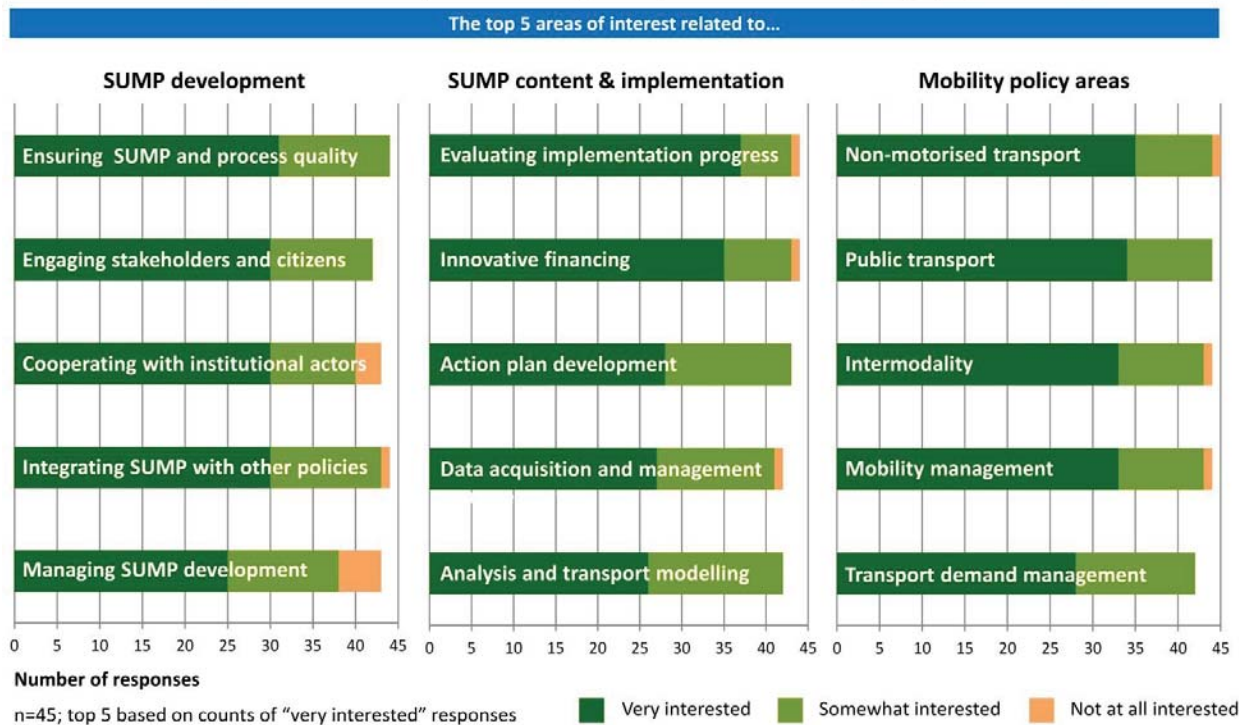


Figure1.3: Main outcomes of the proposal survey

The project provides further opportunities for mobility experts to engage with the project, such as online and face-to-face trainings, and other SUMPs-Up events that will be organised back-to-back with other European and city network events (WP4). A micro-funding stream will be part of the larger Innovation Pilot Pool, providing technical support for at least 200 planners/decision makers to travel to physical SUMPs-Up meetings, thus significantly lowering another hurdle to the take-up of SUMP. The SUMPs-Up proposal survey also showed that one-third of the respondents feel challenged by their national framework conditions, including, among other countries, Bulgaria, Romania, and Latvia. Therefore, SUMPs-Up will provide special support to five countries (to be identified) where take up is particularly low due to an unfavourable national framework.

Secure – Sustaining the process

Through its acceleration mechanisms, SUMPs-Up will significantly improve the take-up of SUMP in Europe and leave a distinct SUMP legacy that will sustain long-term SUMP commitment at all levels. A comprehensive and forward-thinking exploitation strategy will ensure that the key project outputs – such as the SUMP Tool Inventory and the enhanced SUMP Self-Assessment – will be widely used beyond the project's lifetime. To achieve this aim of building a common source of information on SUMP, a close cooperation with the Eltis platform and CIVITAS Initiative is planned.

The project management will explore exploitation potential together with other projects and initiatives right from the start of the project. SUMPs-Up will be organised as an open platform. In its capacity-building activities, SUMPs-Up will create valuable material that will be integrated into knowledge resource collections (e.g. SUMP Tool Inventory) and made available freely on other project websites/sources to encourage replication. Likewise, SUMPs-Up communication products will establish a broad legacy of valuable information that will last beyond the project lifetime. Further notable SUMPs-Up legacies include:

- Policy recommendations incorporating findings from the in-depth SUMP evaluation (WP7), Innovation Pilot Pool results (WP 6) and improving SUMP framework conditions (WP6)
- The SUMP Tool Inventory and its interactive features (e.g. tool reviews, tool submission feature) that will be available to mobility planners also beyond the project's lifetime
- A quality-confirmed SUMP registry for cities to submit their SUMP together with the SUMP Self-Assessment result
- An EU-level dialogue on Sustainable Urban Mobility Plans between Member States



CIVITAS 2020 promotes a collaborative approach to developing the innovative policies and technologies needed for cleaner and better urban mobility and transport. The project establishes a framework for coordinated evaluation, dissemination, and information-exchange, and supports local partnerships in implementing and testing new approaches under realistic conditions. Through collaborative evaluations and impact assessments, participating cities develop a knowledge-base, technical capacity and scaling support that can be made available to all European cities.

SUMPs-Up acknowledges and shares the CIVITAS objectives and, through playing an active role in the CIVITAS 2020 family, hopes to contribute to them. In order to promote the CIVITAS initiative, the project will share the project's lessons and conclusions with cities both inside and outside of the consortium. The project will implement the CIVITAS corporate design such as the CIVITAS logo and the CIVITAS acronym according to the guidelines provided. On request, SUMPs-Up will cooperate with the CIVITAS-secretariat and participate in CIVITAS-led activities. Further details will be specified in a Memorandum of Understanding that will be agreed between SUMPs-Up and the CSA project that supports the CIVITAS initiative.

1.3.2 The SUMPs-Up Approach

The SUMPs-Up project consortium will approach the project implementation based on the following working principles:

Collaborate with cities day in, day out

SUMPs-Up will inspire a movement of cities and regions dedicated to sustainable urban mobility planning, build their capacity for SUMP take-up and provide tailored information as well as development and implementation support. Mobility planning authorities and their staff will be involved in all stages of the project but at different involvement levels:

SUMPs-Up City Partners (CP): These cities are full project partners. Advanced in SUMP development, they bring value to SUMPs-Up by sharing their frontrunner experiences, becoming SUMP concept ambassadors,

and acting as role models for other cities. City Partners will take the lead on thematic areas they have particular expertise in (see city profiles p. 14, 15) and will advise other mobility authorities on these areas. They will also have the opportunity to further enhance their SUMP. The cities were selected due to their experience, certain characteristics (size, topography, context) and expertise. The geographical coverage of City Partners reflects different national framework contexts and practices for urban mobility planning. City Partners will support the project's goals by contributing to the Urban Learning Alliances, the capacity-building and the communication activities. They will be the starting point for acceleration across Europe and will help encourage more cities to take part in the project.


Table 1. 2: The SUMPs-Up City Partners


Birmingham, UK	
Characteristics: Regional centre, industrial, cultural & academic centre; 1.3m inhabitants Modal split: Walking 26%, private car 52%, public transport 20%, cycling 1%, others 1%	
SUMP status: SUMP – Birmingham Connected has been adopted, which led to the development across the wider West Midlands Metropolitan area	
Within SUMPs-Up? We would like to increase our knowledge on monitoring and evaluation aspects and the implementation of measures to promote low carbon transport. SUMPs-UP provides a platform for experience exchange.	
Planned “SUMP Innovations in practice”: 1. Integrating the SUMP with other policies: Birmingham Connected identifies 11 areas as Green Travel Districts. These are areas of high trip, where alignment with other plans e.g. land use planning is needed. 2. Road space allocation: In Birmingham’s constrained road network, choices on road space allocation need to be made. The city is developing a road space allocation policy which will be enriched with experience from other European cities.	


Budapest, Hungary	
Characteristics: Capital city, economic, cultural and academic centre; metropolitan area; Population: 1.75 mill. in city, 2.55 mill. in metropolitan area Modal split: Walking 41%, private car 23%, public transport 34%, cycling 2%	
SUMP status: First SUMP “Balázs Mór-Plan” was approved by the general assembly and the vision was addressed in the Budapest 2030 urban development plan.	
Why SUMPs-Up? In SUMPs-up we would like to increase our knowledge on political commitment, innovative financing solutions including innovative procurement processes.	
Planned “SUMP Innovations in practice”: 1. Active two way communication with decision makers: BKK will conduct an survey with at least 10 high-level decision makers, including member of the Hungarian parliament, members of the general assembly of Budapest, and mayors of districts. 5 decision makers will be selected for a political visit to a selected European city. 2. Development of an integrated TDM system for road users: Detailed sector strategy for an integrated TDM system for road users in Budapest, including international benchmark about solutions, drivers and barriers, analysing potential solutions.	


Donostia/San Sebastian, Spain	
Characteristics: Capital city of Gipuzkoa region (Basque Country), touristic city, seaside city; population: 186.126 (2014); Modal split: Walking 49%, private car 22%, public transport 17%, cycling 4%, others 8%	
SUMP status: SUMP published in 2008; implementation horizon until 2024. Revisions expected for 2016.	
Why SUMPs-Up? We would like to show SUMP as a “live”-tool that allows deviations from original plans and can be adapted to changing circumstances.	
Planned “SUMP Innovations in practice”:	

1. Interactive Maps for cycling and walking: In a participatory mapping approach peer information will be gathered for an interactive cycling and walking map.
2. Flexible use of spaces: The measure aims to provide certain streets a different “face” depending on day time, and demanding activities: Residents, freight distribution, pedestrian zones etc.

Malmö, Sweden	
Characteristics: Medium sized northern city, growing, regional capital, young, dynamic; population: 315.000 inhabitants	
Modal split: Walking 15%, private car 40%, public transport 21%, cycling 22%	
SUMP Status: First holistic SUMP to be adopted in fall 2015.	
Why SUMP-UP? We want to get inspired from European colleagues and experts, especially on topics in relation to integrated planning, participation processes, monitoring/evaluation and social sustainability.	
Planned “SUMP Innovations in practice”:	
1. Poly-SUMP for southwest of Scania in a transnational context: The aim is to develop a Poly-SUMP in Scania and to merge this with a similar strategic document of Copenhagen. Planned actions are workshops with regional stakeholders to create common understanding and common vision.	
2. Perceived accessibility index: The city administration has developed a method to calculate the geographical accessibility in the city as an index. Now the idea is to enrich it with the perceived user perspective.	

Sofia, Bulgaria	
Characteristics: Capital city, administrative, industrial, transport, cultural, and academic centre of the country; population: 1,3m inhabitants Modal split: Public transport 49%, car 38%, walking 11%, cycling 2%	
SUMP-Status: 1 st version of SUMP adopted. 2 nd SUMP planned with action plan.	
Why SUMP-UP? The enforcement of concrete measures in SUMP will provide policy continuity in urban development and will contribute to improve the environmental conditions in the city.	
Planned “SUMP Innovations in practice”: 1. Interactive action with citizens: Development of an innovative platform for public announcements related to transport and mobility discussions. Possibility for filtering information based on the district and on certain topics. 2. Macro level modeling: The aim is to develop a macro level modelling to comprehensively analysis the current transport condition. Through this modelling software, future sustainable measures will be implemented.	

Thessaloniki, Greece	
Characteristics: 2 nd largest Greek city, cultural, commercial, touristic, academic center; population: 900.000 inhabitants (2011) Modal split: Walking 4%, private modes 67%, public transport 28%, cycling 1%	
SUMP status: SUMP for the metropolitan areas of Thessaloniki developed based on SUMP Guidelines methodology	
Why SUMP-UP? We would like to enhance the Authority’s capacities towards the implementation, monitoring and evaluation of the SUMP.	
Planned “SUMP Innovations in practice”: 1. Evaluate progress and SUMP implementation: The SUMP Quality Assessment Unit established in the Thessaloniki Public Transport Authority will be used for online surveys concerning user satisfaction on the provided services. 2. Information on Financing: Create a toolbox (online platform) aiming to assist stakeholders to select the most appropriate financing scheme.	

Torino, Italy	
<p>Characteristics: Capital city of the Piedmont region, industrial, cultural, academic centre; population: 900.000 inhabitants</p> <p>Modal split: Walking 29%, private car 43%, public transport 23%, cycling 3%, others 2 %</p>	
<p>SUMP status: Adopted in 2008; currently under revision.</p>	
<p>Why SUMPs-Up? Within SUMPs-Up we would like to learn more about monitoring and evaluation aspects in particular and new participatory approaches.</p>	
<p>Planned “SUMP Innovations in practice”:</p> <p>1. Integrated charging scheme for city logistics: Analysing and modeling a more efficient and eco-friendly mobility paradigm for freight transport. This will be done by new mobility pricing schemes with access to restricted zones, also integrating different transport modes (e.g. “cargo bikes”). The aim is an “all-inclusive” mobility bill in the city.</p> <p>2. Participatory measures design: Applying an innovative co-creation approach in the selection/design of measures with mobility experts, citizens and mobility stakeholders from businesses and industry.</p>	

Innovation Pilot Pool: IPP enables concrete support to SUMP-UP to define and test its products and services to develop, implement, finance, enhance or evaluate SUMPs. The IPP calls for technical assistance from subcontracted expert actors that are active in a city context. Subcontractors may include, for example, planning authorities, local and regional stakeholders or mobility expert organisations. The IPP will seek at least 20 subcontractors to address the full set of SUMP tools and services developed by the project, collect inputs from at least 100 subcontractors for selected and targeted SUMP development and/or implementation tools and services. At least 200 mobility experts will get the opportunity to participate in SUMP-UP activities. Together it leads to a minimum of 300 actors supporting SUMP-UP by means of the IPP.

Outreach Cities: This is a large pool of more than 600 SUMP-interested authorities that SUMP-UP reaches through the city networks, its capacity-building programme, promotional activities and multiplier effect. Outreach cities will benefit from SUMP-UP products and will be encouraged to tender for support from the IPP. For the representatives of these cities, micro-funding is available to help them cover travel costs for capacity-building activities.

Concentrate on countries/ areas where take-up is low

SUMP-UP will focus on specific countries and areas where take up is particularly low, but will by no means exclude any Member States from its activities; it will rather intensify activities in identified priority areas. The project consortium will decide on the country and thematic area focus at the beginning of the project, based on the first outcomes of the analysis in WP1. Project partners’ previous SUMP projects and the proposal survey already suggest countries that should be specifically targeted to increase SUMP take-up. These include, for instance, Bulgaria, Romania, Poland, Croatia, Portugal and Spain. However, SUMP-UP wants to take this decision based on a solid research and evidence base in the first project phase. Analyses of WP 1 are likely to reveal that there are different levels of take-up urgency and need. While some countries fully lack SUMP-compliant approaches, others might indeed have mobility plan frameworks, but the plans prepared do not fulfil sustainable mobility criteria or SUMP requirements, or may simply not be effective in strategically tackling transport challenges at local and regional levels. Equally, a country may be generally advanced on SUMP implementation but may be in urgent need of support in a specific thematic area e.g. integrating non-motorised transport modes into SUMP. Therefore, countries and their cities will be grouped by take-up priorities, a classification that will help in tailoring the project’s support activities such as the Innovation Pilot Pool.

Respond to take-up needs and give cities the support they need

A lot of high-quality SUMP support for local authorities has been developed in previous years, but take-up has been slow. Since the adoption of the Urban Mobility Package in 2013 and especially through the finalisation of the Operational Programmes funded by the European Structural and Investment Funds, the SUMP concept may have become more widely implemented. However, as feedback from experts in Poland,

Czech Republic, Romania and other Central and Eastern European countries indicates, there is a danger of these plans not fulfilling even minimum quality standards due to a lack of understanding of the concept (as well as a lack of technical support and quality control on the national level).

SUMPs-Up believes that this is a serious threat to the progress made over the last 10 years and that cities need better guidance, tailored support, easier access, more visible opportunities, and a positive process to inspire them to start and develop a quality SUMP (in addition to the support needed by governments, addressed below).

There is a need for a more systematic understanding and support for SUMP development. Local authority representatives are challenged by the integration of the SUMP concept within their existing planning systems and are often more used to the implementation of single measures rather than starting a comprehensive development process following a holistic approach.

SUMPs-Up will develop innovative structures to guide cities to the materials they need (WP2, WP3). This will be done in close cooperation with SUMPs-Up City Partners who will critically review the results. The findings will be presented in a clear, user-friendly way that will enable mobility planning authorities to better understand how to apply these in the development of their SUMPs. Guidance will also be provided through the capacity-building activities and by targeted communication products.

Applying enabling innovation

Several SUMPs-Up project activities have the aim to take SUMP to the next innovation level, encouraging replication and take-up of the concept. At the local level, city partners will pilot innovative solutions in SUMP development and implementation (see “SUMP Innovations” in city profiles, p. 14,15). They form a community of frontrunner cities leading by example, becoming role models for other cities in Europe. Furthermore, SUMPs-Up will improve the quality of SUMPs by enabling planning authorities to use material in a more targeted way. The SUMP Tool Inventory, one of the project’s key innovations, will help mobility planners to make better informed decisions about which planning tools to apply in their given local planning context.

At national level, SUMPs-Up aims to create new mechanisms to build supportive national SUMP frameworks. Building on existing and new SUMP framework research to be carried out by SUMPs-Up, the project will provide unique support activities to national governments, agencies and stakeholders (e.g. national workshop series in identified priority countries, WP6; support mechanisms via the Innovation Pilot Pool, WP5). On the European level, SUMPs-Up will foster dialogue on SUMPs between Member States and EC stakeholders aiming for exchange on good practice and innovative support mechanisms. In addition, SUMPs-Up will offer support to interested countries in setting up a non-profit certification scheme for SUMP quality assurance, based on the SUMP Self-Assessment concept and adapted to national conditions.

Build capacity at all levels

SUMPs-Up will accelerate SUMP take-up by implementing capacity building for all levels. It will reach out to individual transport professionals who would like to improve their SUMP skills and further develop expertise in specific SUMP-related topics. SUMPs-Up will set up a tailored capacity-building programme for mobility planners offering an inspiring mix of online as well as face-to-face learning and peer exchange formats. For accelerating the take-up of SUMPs in cities and regions, SUMPs-Up will build capacities through a blend of support mechanisms, most prominently the technical support of the Innovation Pilot Pool and the accompanying Urban Learning Alliances.

Last but not least, SUMPs-Up will engage representatives working at national level (e.g. government officials, staff of agencies, SUMP stakeholders, multipliers). Depending on the needs for capacity development, the project will offer support to raise awareness of SUMPs, help others to understand the concept and requirements behind it, and provide guidance on designing effective SUMP frameworks (e.g. in national workshop series, WP6). SUMPs-Up will strive to inspire and transform them into SUMP ambassadors within their central governments and the European Union.

1.4 Ambition

1.4.1 Advance beyond the state of the art

The concept of Sustainable Urban Mobility Plans has become one of the most essential planning instruments for sustainable mobility over the last decade in Europe. However, despite a strong policy push from the European Commission, the concept cannot be considered an established approach followed by the majority of planning authorities.

Understanding common SUMP challenges

Following the adoption of the Urban Mobility Package, the European Commission has ensured that a significant proportion of EU funding for transport projects is awarded on the condition of having a SUMP in place. Most Operational Programmes of the European Structural and Investment Funds (ESIF) require the development of SUMP. For many EU Member States, this is an important positive development - however, it is also the case that while authorities may think they are meeting this new formal requirement, the actual plan they enact may not meet the EU requirements for a SUMP. This is usually because (1) neither planners nor decision-makers (on all levels) have fully understood the required commitments for SUMP, and (2) structures to support and quality control SUMP development and monitor SUMP implementation are not (yet) available in many Member States. An agreed and operational set of clear criteria defining the degree of compliance of a local SUMP with the EU's SUMP Guidelines is only emerging. At the same time there is a strong interest from local planners and decision-makers to apply the SUMP concept and to initiate the paradigm shift towards sustainable urban mobility development.

A further common challenge refers to lacking guidance and good practice: Freight transport, for example, is a major challenge in European cities, but know-how on integrating freight into SUMP concepts is scarce; cycling and walking are increasingly seen as serious transport modes, but good practices for their integration into SUMP are only emerging. The EU SUMP Guidelines were obviously written with larger cities in mind, while in many countries small and medium-sized cities are the majority – and guidance respecting their specific context conditions is required. Austerity, for example, is a common new challenge for most cities. These are only examples of areas where specific guidance, or at least systematic work on good practice, is required. Therefore, systematically researching the state of the art of SUMP in Europe and its emerging challenges is an important project activity, which will allow the project to respond to these challenges with the most effective actions.

Tackling local SUMP challenges

Preparing a SUMP is a complex task requiring a high degree of integration and collaboration between various departments, and a political commitment to work proactively with local and regional stakeholders as well as citizens. Making budget available and addressing infrastructure issues are especially difficult in times of economic austerity.⁵ As a result, cities often face multidimensional take-up challenges. At the same time, there is no one-size-fits-all solution to increasing the number of SUMP prepared in Europe, due to the great variety of local planning context conditions in Europe.

Tackling national SUMP challenges

The state of the art across the EU Member States is highly diverse. Some countries have well established policy frameworks in place but require support in very specific areas, while others are still struggling to develop a good policy foundation. Clear national guidance and incentives are absent in most countries (for various reasons) – establishing this would be highly desirable, as current SUMP research shows.⁶

Tackling SUMP challenges on the European level

At the European level, the urban mobility observatory Eltis⁷ offers a platform to exchange information, knowledge and experience on SUMP and aims to harmonise activities of EU SUMP projects. Guidance and support on specific aspects of SUMP are being developed in various co-financed projects and selected cities

⁵ See for example CH4ALLENGE (2015), State-of-the-Art Report of Sustainable Urban Mobility Plans in Europe (2012)

⁶ May et al. (2015, not yet published): Appropriate national policy frameworks for Sustainable Urban Mobility Plans. World Conference on Transport Research - WCTR 2016 Shanghai. 10-15 July 2016.

⁷ Eltis – The urban mobility observatory: www.eltis.org

are being trained in SUMP development and implementation. However, these actions are still fragmented and there is no one project that provides full SUMP guidance and brings together all support mechanisms that planning authorities need to develop and implement a quality SUMP.

Key advancement 1: Creating a critical mass for mainstreaming the SUMP concept

The mission of SUMP-UP is to make SUMP the mainstream planning concept in Europe. We believe that it is essential to create the critical mass required to convince decision-makers and planners to embrace the SUMP concept, especially in those regions and thematic areas where take-up is still low. SUMP-UP has the ambition to be the number one European programme that boosts the take-up of SUMP.

Therefore, SUMP-UP will work closely with 100 local and regional authorities on initiating and improving their SUMP. Through its capacity building, promotion and communication activities as well as the work at national level, SUMP-UP will reach out even further – to more than 600 planning authorities across Europe. We believe that this will create the required acceleration of SUMP practices all over Europe.

Key advancement 2: Enabling cities to develop quality SUMP

SUMP-UP will allow decision makers and planners to understand the SUMP concept and the long-term opportunities that it provides for their cities, as well as enabling them to adapt the overall approach to their own specific local contexts by offering a customised mix of support mechanisms: (1) technical SUMP support through the IPP, (2) peer exchange in a high-quality learning programme complementing the IPP support, (3) close monitoring of supported SUMP processes, (4) tailored advice on the application of tools for SUMP planning and for the implementation of policies, as well as (5) a comprehensive capacity-building programme for individual mobility planners.

(1) Innovation Pilot Pool: SUMP-UP will create a mechanism that allows SUMP-UP to identify and validate the most effective concepts, approaches and methodologies in SUMP practice for different framework conditions and different types of cities. Support will range from initiating SUMP-based thinking to preparing the ground for SUMP development, to resolving specific measure-related challenges, up to full support for implementing the entire SUMP cycle.

(2) Urban Learning Alliances: The Innovation Pilot Pool is complemented by a first-of-its-kind team learning programme: successful IPP tenderers will be grouped into Urban Learning Alliances. These alliances, putting the cities at the centre of the learning process, encourage co-learning and knowledge-building between cities with support from learning facilitators. Each Innovation Pilot Pool call will offer a comprehensive curriculum embracing a blended learning approach, i.e. including various online and face-to-face learning and coaching opportunities with facilitators and peer cities.

(3) Monitoring and evaluation of Innovation Pilot Pool will ensure that activities are being successfully implemented and will help to deliver quality results. Participating planning authorities will apply the SUMP Self-Assessment before and after conducting their activities in combination with indicator assessments, revealing changes in planning practices, challenges and success factors. Together with the SUMP Self-Assessments from non-SUMP-UP cities, this will create an important knowledge base about the development beyond the state of the art, which may be combined with European level benchmarking activities like the Urban Mobility Scoreboard.

(4) Tool Inventory: The market for mobility planning tools is highly fragmented and lacks transparency and clear quality criteria. SUMP-UP will build up a user-friendly SUMP Tool Inventory which incorporates the top 50 SUMP tools for developing and implementing SUMP. Detailed information on the tools' relevance for practitioners and the contexts for application will be made available through an Implementer's Guide. As making another "meta-tool" available is not enough, the inventory will be embedded into the Urban Learning Alliances and other capacity building formats, e.g. in tailored training activities on selected SUMP topic areas and promotional activities. The Tool Inventory will be an open platform for public and private sector contributions, but SUMP-UP will ensure that only quality and relevant tools are made available – supported by practitioner reviews from the SUMP-UP community.

(5) Individual skill development: SUMP-UP will target individuals in their training activities, i.e. mobility planners engaged in SUMP development and implementation. A combination of online and face-to-face learning opportunities as well as peer exchange will enable learners to pass on their freshly acquired knowledge to fellow members of their planning authority.

Key advancement 3: Engaging Member States in Quality SUMP development

As SUMP development has become a de facto requirement in many countries where European structural funding (ESIF) plays an important role, ensuring quality is a key challenge. Therefore, SUMP-UP will also put a strong focus on supporting national governments and multipliers in developing facilitating and monitoring structures for SUMP. Building on exploratory efforts by previous projects, SUMP-UP will foster dialogue between Member States by collaborating with the Expert Group on Urban Mobility⁸ and involving its members in European SUMP exchange (e.g. European exchange workshops, as part of Expert Group meetings, in dedicated SUMP meetings, etc.). In addition, the project will concentrate on strengthening national frameworks in those countries where take-up is still low and national guidance and policy are missing.

In addition, SUMP-UP will offer support to interested countries in setting up a non-profit certification scheme, based on the SUMP Self-Assessment concept, in order to implement a basic quality assurance mechanism (see Chapter 1.4.2, "Further developing monitoring, benchmarking and SUMP certification").

1.4.2 Innovation potential

Creating a strong basis for further research

Knowledge about concrete needs, drivers and barriers facing local authorities related to the take-up and optimisation of SUMP is fragmented and spread over various sources. SUMP-UP will build a unique SUMP database containing detailed information on SUMP for more than 300 planning authorities, thus also significantly contributing to European SUMP research. Comprehensive analyses of the database will allow SUMP-UP to equip cities with the supporting tools and services most appropriate for their diverse context conditions.

Building evidence on SUMP impacts

In order to capture the progress and impacts of SUMP in local authorities, 10 authorities will undergo an in-depth, long-term evaluation, including close monitoring and impact assessments while working on their SUMP process and implementation. These unique "SUMP close-ups" will reveal the impact SUMP can have on policy processes, governance structures and sustainable mobility levels. In-depth analyses will show evidence of the SUMP concept's value and unveil the dynamics behind SUMP development and implementation, while at the same time critically assessing and reflecting on the SUMP concept.

Further developing benchmarking and SUMP certification

Analyses will be complemented by the SUMP Self-Assessment Scheme, for which SUMP-UP will assume responsibility. The self-assessment is the first tool that allows authorities to assess their compliance with European SUMP requirements, based on the EC's SUMP concept and Guidelines as presented in the Urban Mobility Package. This tool can be used by planning authorities to measure their own progress towards the achievement of a genuine Sustainable Urban Mobility Plan, as well as by European institutions that may wish to use the scheme for verification purposes. The self-assessment has been prepared in close cooperation with DG MOVE. SUMP-UP will not only continue hosting the tool but it will also further optimise its functionalities – in particular the benchmarking opportunities – in close cooperation with EC stakeholders. As soon as the empirical basis is large enough following the tool's official launch (Nov 2015, the project will provide regular in-depth analyses of the SUMP concept's status in Europe). By doing so, it will inform higher-level decisions on support frameworks for SUMP. SUMP-UP will be the key project encouraging planning authorities to take the self-assessment, promoting it even more widely across Europe and strengthening its relevance at the European level.

Finally, SUMP-UP will offer Member States, which do not have a SUMP quality assurance mechanism in place, to work with the developers of the SUMP Self-Assessment concept to "translate" (in terms of language and context) its system of 100 questions assessing the compliance of a given SUMP with the EC's SUMP Guidelines. This support will include advice on training for institutionalising a non-profit certification

⁸ Expert Group on Urban Mobility (E03165): The mission of the expert group is to facilitate the exchange of information and the cooperation on urban mobility issues between Member States and the European Commission, thereby contributing to enhanced coherence of relevant action taken at Member States and EU level (Source: Register of Commission Expert Groups)

scheme, based on the SUMP Self-Assessment concept, in order to implement a basic quality assurance mechanism.

Creating SUMP innovation showcases across Europe

Last but not least, SUMPs-Up partner cities will showcase innovative examples in SUMP development and implementation including, for example (see also city profiles):

- Developing a regio-SUMP in close cooperation with neighbouring communities and across borders (Malmö)
- Preparing a sustainable urban macroscopic model to analyse and understand the local mobility situation and to take better informed decisions (Sofia)
- Integrating SUMP with other policies such as land use, environment and smart city development (Birmingham)
- Evaluating progress and SUMP implementation in an in-house SUMP Quality Assessment Unit (Sofia)

With their SUMP innovations, SUMPs-Up partner cities will lead by example on SUMP take-up for other European cities.

2 Impact

European cities and companies are among the world-leaders in sustainable urban mobility planning. However, a full-scale transformation of urban mobility towards sustainable development principles across Europe will require a dedicated effort to bridge the gap between ‘frontrunners’ and the large number of cities where conventional transport planning still dominates the agenda.

SUMPs-Up will make a major contribution to realising this necessary paradigm shift in mobility planning. The headline targets and impacts of SUMPs-Up will include:⁹

- Involving 100 cities in Urban Learning Alliances (ULA) and reaching out to an additional 600 planning authorities in Europe. This will represent 80% of the cities in the EU above 50,000 inhabitants (i.e. the core group of cities realistically expected to prepare a SUMP).¹⁰
- Substantial progress in the development of 100 SUMPs in ULA cities and in 100 Outreach Cities over the duration of the project; measured by 25% average improvement in compliance with the EU SUMP Guidelines (using the SUMP Self-Assessment Scheme).
- 400 planning practitioners involved in SUMP capacity building, which will include three phases of capacity building that will engage 300 learners and 100 highly committed ambassadors.
- 90 SUMPs (30 prepared by ULA cities and 60 SUMPs by Outreach Cities) adopted by city councils during the project lifetime.
- 30 ULA cities and 30 Outreach Cities implementing SUMP measures during the project; ULA cities will submit monitoring reports for assessment, Outreach Cities will provide information through the SUMP registry.

Based on SUMP implementation, SUMPs-Up cities will achieve significant societal benefits, including:

- Total investment of €20 million in SUMP preparation, equivalent to the creation of 266 full-time jobs, strengthening Europe’s position as global leader in sustainable urban mobility planning.
- Investment of €1 billion in local sustainable mobility measures during the first five years of SUMP implementation (i.e. €10 million per SUMP authority).
- 9.6% reduction in annual greenhouse gas emissions from the urban transport sector in Europe, in addition to safety and transport network efficiency gains.

SUMPs-Up will closely monitor and measure the impacts its activities create in a dedicated work package on process monitoring and impact evaluation, both on the city level as well as the project level (WP7).

2.1 Expected impacts

2.1.1 Expected impacts set out in the work programme

SUMPs-Up will deliver the expected impacts of the call, achieving a high leverage factor based on a strong commitment to preparing and implementing SUMPs "especially in regions and cities where take up is so far low and the impacts from transport are severe". In addition, SUMPs-Up will contribute practical and replicable tools and methods to support SUMP preparation, including guidance and training applicable to a large target audience (i.e. the expected impact of the task in the second call bullet).

The project impacts will be generated through the involvement of three major SUMP stakeholders groups and through the development of comprehensive guidance targeted at local authorities in need of SUMP take-up support.



Figure 2.1 –Structure of SUMPs-Up major stakeholders

⁹ The rationale and calculation basis of the following impact figures is provided in the following chapters.

¹⁰ European Commission (2012): Cities in Europe. The new OECD-EC definition.

The impacts generated by SUMP-UP are separately described for each stakeholder group.

- 100 SUMP-UP Urban Learning Alliance cities, receiving assistance from the Innovation Pilot Pool;
- 600 mobility planning authorities participating in SUMP-UP outreach and capacity building activities;
- close collaboration with EU Member States.

2.1.2 Impacts from Urban Learning Alliance cities

100 Urban Learning Alliance cities will benefit from the Innovation Pilot Pool, a support mechanism expected to build commitment and engender substantial progress among local authorities in preparing and implementing SUMP, especially "in regions and cities where take up is so far low and the impacts from transport are severe". If feasible on the basis of the received tenders, a good balance of 'starter' SUMP authorities and 'improving' SUMP authorities from identified priority areas will ensure a rich blend of experience within the ULA and would enhance peer learning opportunities. SUMP-UP has set the following ambitious, but realistic targets for these 100 cities:

Table 2.1: Impacts from ULA city involvement

Targets and related impacts	Indicators
Achieve progress in the development of SUMP in 100 authorities.	Subcontracts with 100 cities concluded. Defined milestones are met by all planning authorities.
Achieve improvement of the quality of the SUMP planning processes by 25 points on average (in 100 points scoring system).	Increase of SUMP Self-Assessment Scheme score between start and end of SUMP-UP involvement.
30 SUMP will be formally adopted by the end of the project: <ul style="list-style-type: none"> • 5 from 'starter' authorities • 25 from 'improving' authorities 	Published and formally adopted SUMP on the SUMP Register.
40 authorities will prepare SUMP Action Plans.	SUMP Action Plans submitted by planning authorities.
30 authorities will implement measures set out in adopted SUMP.	Planning authorities publish SUMP monitoring report, identifying implemented and initial results.

The impacts of the SUMP-UP IPP and capacity building activities (Urban Learning Alliance, the Monitoring approach; the SUMP Tools Inventory Platform) on the ULA cities is expected to be as follows:

Table 2.2: Impacts of SUMP-UP project instruments

Targets and related impacts	Indicators
100 subcontractors give technical assistance contributions on successful use of the SUMP.	Number of Innovation Pilot Pool proposals quality assessed and accepted.
100 authorities participate in peer exchange and co-learning through the Urban Learning Alliance.	Meaningful participation in the Urban Learning Alliance, measured by relevant and active contribution to learning and exchange activities.
100 authorities adopt the SUMP-UP monitoring approach.	Monitoring reports fulfilling quality criteria submitted.
10 authorities will take part in an in-depth analysis of their implementation (process and impact evaluation).	Required data delivered by authorities and case studies delivered by WP7.
100 authorities apply (at least) one of the inventory tools for SUMP planning and implementation.	Complete Tool Application and Evaluation Feedback forms submitted.

2.1.3 Outreach Cities

SUMP-UP will reach out to 600 cities and will therefore engage about 80% of the EU-cities above 50,000 (EC 2012). The outreach and recruitment process is facilitated by the city networks in the SUMP-UP

consortium, who together have 380 unique members (multiple memberships are counted only once). For the Outreach Cities, the emphasis will be on capacity building, but cities will also be encouraged to provide status updates on their progress towards SUMP development and implementation.

Table 2.3: Impacts from Outreach Cities involvement

Targets and related impacts	Indicators
Achieve improvement of the quality of the SUMP planning processes by 25 points on average (in 100 points scoring system).	Increase of SUMP Self-Assessment Scheme score between start and end of SUMP-Up involvement.
60 SUMP will be formally adopted by the end of the project by Outreach cities.	Published and formally adopted SUMP on the SUMP Register.
40 authorities will prepare SUMP Action Plans.	SUMP Action Plans submitted by planning authorities.
30 authorities will implement measures set out in adopted SUMP.	Planning authorities publish SUMP monitoring report, identifying implemented and initial results.

2.1.4 National policy level

The extent to which national governments promote SUMP development through, for example, adequate legislation, funding, and support for capacity building, plays a crucial role in SUMP take-up and implementation. SUMP-Up will therefore engage with national governments, prioritising those countries where analysis has revealed that national policy and commitment to supporting public authorities is lagging behind. The following project targets are proposed:

Table 2.4: Impacts from activities on Member States level

Targets and related impacts	Indicators
Significantly improved EU-level dialogue on SUMP in cooperation with Member States.	Qualitative indicator: SUMP regularly on the agenda and minutes of the EU-Expert Group on Urban Mobility; perceived quality of SUMP meetings with selected Member States representatives.
9 major national SUMP activities (e.g. on framework preparation, funding, capacity building, knowledge transfer).	Qualitative indicator: Positive evaluation of meeting quality by participants.
Setting up a non-profit certification scheme, based on the SUMP Self-Assessment concept in five Member States without an own quality assurance mechanism.	Qualitative indicator: Successful "translation" (in terms of language and context) of SUMP Self-Assessment concept and quality advice provided on training for institutionalising a non-profit certification scheme.

2.1.5 Improving innovation capacity and the integration of new knowledge

The SUMP-Up project will create innovation capacity and integrate new knowledge into the SUMP development community by:

- Building a unique information repository with detailed SUMP status information from 300 planning authorities, which will be the basis for regular EU and national SUMP status reports;
- Showcasing 14 SUMP innovation measures from project partner cities, including an in-depth analysis (process and impact evaluation) to identify key SUMP impacts on policy processes, governance structures and sustainable mobility levels; publication of 10 "SUMP close-up" result reports;

- Developing input (such as good practice examples, tools, specific guidance sections etc.) for the review of the EU SUMP-Guidelines and the SUMP Self-Assessment Scheme, as well as for guidance and training materials, tools¹¹ and online tenders generally.

Table 2.5: Impacts of improved innovation capacity and new knowledge integration

Targets and related impacts	Indicators (all qualitative)
Detailed quality information on SUMP implementation status in 300 European cities.	SUMPs-Up survey and SUMP register.
Regular benchmarking of SUMP status in EU and in Member States.	Country-level analyses of SUMP quality based on SUMP Self-Assessment Scheme.
Innovative planning processes and measures implemented in project partner cities.	Peer-reviewed quality assessment of SUMP innovations by SUMPs-Up partner cities.
Evidence of the impact of SUMP to foster sustainable urban mobility.	Detailed SUMP impact assessment of 10 cities.
Updated and further developed SUMP Guidelines.	A minimum of 50 new good practice examples, 50 tool recommendations, 10 tailored guidance sections for specific city profiles/application contexts available on Eltis (quality assured).
Further development of SUMP Self-Assessment Scheme according to its functionalities (e.g. benchmarking, analyses, user-friendliness) and applicability in Member States.	Review of user feedback after the scheme's first year. Adapted questionnaire and scoring.
Development of standards for SUMP Action Plans.	Report and a new section on SUMP Action Plan development for the SUMP Guidelines update (quality assured).
Comprehensive online SUMP Tool Inventory and an accompanying 'Implementer's Guide' to inform different types of cities on tool options.	Collection, assessment and guidance on the top 50 scored SUMP-friendly planning tools and methods. Manuals for different categories of cities, differentiated by SUMP experience and maturity levels, covering 11 mobility policy areas (quality assured).
Urban Learning Alliance online platform with 5 virtual classrooms.	High level of learning and exchange activities of cities on training platform (Moodle); indicator to be further specified.
Blended capacity-building for five Urban Learning Alliances (20 cities each): 15 face-to-face workshops and study visits; 15 support and peer exchange webinars; 15 moderated online courses; 10 peer reviews of participating cities; 100 one-to-one expert support sessions.	Urban Learning Alliance cities taking advantage of the learning opportunities on offer. Monitoring of participation and positive feedback levels about content/ organisation, relevance of content.
Capacity-building programme for mobility planners comprising 7 self-study online courses, 6 webinars and 8 face-to-face	Number of registered individual learners taking part in learning activities. Download figures regarding the learning material. Number of practitioners

¹¹ Tools are resources that enable transport planners to make SUMP development more effective, robust and competent, and that support strategic decision-making on urban mobility and may include, for instance, planning approaches, methods, instruments, guidance documents (containing e.g. checklists, templates, good-practice examples) or, where relevant, software. These tools will be embedded into the Urban Learning Alliances and other capacity building formats.

Targets and related impacts	Indicators (all qualitative)
workshops and study visits.	tendering for support from the Innovation Pilot Pool.
Non-profit certification scheme, based on the SUMP Self-Assessment concept.	As in table 2.5 above.

2.1.6 Strengthening the competitiveness and delivering innovations to the markets

The industries supporting the development of sustainable urban mobility solutions are an important part of the "green economy" in Europe. Planners and other professional service providers (i.e. mostly small and medium-sized enterprises) support the development of SUMP. When implementing sustainable mobility measures, a wide range of services, equipment and infrastructure is required. Evidence shows that SUMP measure implementation (such as the construction of cycle lanes, traffic calming measures and public transport) has a greater cost-benefit ratio at the local level than major highway infrastructure projects¹². SUMP development, therefore, has a positive local economic effect. Through SUMP-Up a strong market demand for quality and innovative SUMP development will be created, which will increase the global competitiveness of European cities, as well the competitiveness of European industries.

Table 2.6: Impacts from strengthening the SUMP economy and its related benefits

Targets and related impacts	Indicators
Leverage a total investment of €20 million in SUMP development; equivalent to creation of 266 full time planning jobs. ¹³	Number of Full Time Equivalent (FTE) jobs created per annum. Total value of consultancy services commissioned.
Invest €1 billion in local sustainable mobility measures during first 5 years of SUMP implementation. ¹⁴	Total value of SUMP measures set out within the first five years authorities' Implementation Plans.
Create 11,000 jobs in the construction of new sustainable transport infrastructure. ¹⁵	FTE jobs created during measure implementation per €1 million investment.

These targets relate only to the IPP and in reality a far greater economic and innovation multiplier effect is expected as Outreach Cities are also encouraged to undertake SUMP development and implementation.

2.1.7 Environmental and socially important impacts

A host of environmental and social benefits are achieved through the implementation of a high quality SUMP. For the purpose of monitoring and evaluating the SUMP-Up project impacts, the key targets are based on the objectives for SUMP as expressed in the EC's Guidelines on Developing and Implementing a Sustainable Urban Mobility Plan (2014).

Table 2.7: Environmental and social impacts

Targets and related impacts	Indicators
100 cities define SUMP measure packages with the aim of improving road safety for pedestrians and cyclists. ¹⁶	Submission of SUMP documents that explicitly identify packages of measures that will enhance road safety for pedestrians and cyclists.

¹² See Rye, T. (2015) 'Sustainable Urban Mobility Plans for all cities. Is it really paying off?', Edinburgh Napier University – plenary presentation at the 2nd European Conference on SUMP, Bucharest.

¹³ Assumed average SUMP development cost of 200,000€, creating 2.66 Full Time Equivalent (FTE) jobs over a three year plan preparation timeframe, including staff time, consultancy services etc. Mobility planner average net salary of 25,000€/annum assumed. Source: Rye (2015) – see footnote 1.

¹⁴ Assumed €10 million investment per SUMP authority based on UK data: during period 2011 to 2015, over 1 billion pounds was invested across 96 local sustainable transport packages in the UK. Source: UK Department for Transport (2013) 'Local Sustainable Transport Fund'.

¹⁵ Evidence shows that investment in traffic calming, cycle ways, railways and public transport results in the creation of over 11,000 jobs per €1billion invested (based on 2000 prices). Source: Rye (2015) – see footnote 1.

Targets and related impacts	Indicators
SUMP preparation and implementation driving a 9.58% ¹⁷ reduction in the annual urban transport related greenhouse gas emissions of the EU (by 2025).	Modal shift, measured as: kms travelled shifted to public transport; kms travelled shifted to non-motorised modes; and other kms travelled by car avoided. Reduction in tonnes of CO ₂ equivalent per year (tCO ₂ e/yr) emitted by the urban transport sector.
25 cities define SUMP measure packages with the aim of reducing highway congestion. ¹⁸	Submission of SUMP documents identifying packages of measures aiming to reduce highway congestion.

2.1.8 Barriers, obstacles and framework conditions

The project is operating in a highly dynamic context with multiple stakeholders from different policy levels; the influence the project can have at each level clear limitations. Nevertheless, it is recognised that external factors require an urgent response. The consortium will be in close contact with key SUMP-Up stakeholder groups (including the national level) and will identify any arising barriers and obstacles or other significant changes to the SUMP framework conditions, responding in a quick and flexible manner. Potential risks and accompanying contingency measures have been laid out specifically in the risk register.

Measures to maximise impact

To maximise the project's impact, SUMP-Up will implement actions according to two core strategic elements: an efficient and comprehensive communication and dissemination strategy, and a forward thinking exploitation strategy that will facilitate and encourage the use of its innovative products far beyond the project's end.

a) Dissemination and exploitation of results

Dissemination

In its dissemination SUMP-Up will ensure that each target audience is made aware of the project's products and outputs throughout its duration. Utilising the consortium's impressively wide variety of contacts, the project will reach out to various stakeholders with tailored messages, ensuring that communication activities target their respective interests.

Based to the unique collaboration of four major European Local Authority networks (ICLEI, EUROCITIES, Polis and UBC), the project has an excellent contact base to achieve an effective Europe-wide outreach. Together, the networks boast 380 unique members, with their European communication channels reaching

¹⁶ SUMP-Up will actively promote the selection of measure packages, incorporating measures that directly or indirectly improve road safety, within the SUMP processes of ULA cities.

¹⁷ According to the EEA (Report 11/2013) urban transport accounts for approx. 25% of Greenhouse Gas Emissions across the EU (223.25mil tCO₂e/yr; Eurostat 2012), mainly attributed to road transport. Allowing for a lag period for SUMP preparation and implementation over the period 2015-2025, it is estimated that SUMP-Up would achieve emissions reductions per year of 1.7% (3.84mil tCO₂e/yr) in partner and ULA Cities by 2025 and emissions reductions per year of 9.58% (21.38mil tCO₂e/yr) when Outreach Cities are include in the calculation. These figures are based on the assumption that 3% of car trips are avoided and a 20% modal shift from car trips to public transport and non-motorised modes is achieved. It would be expected that emissions of other air pollutants such as SO₂, NO₂ and Particulate Matter (PM_{2.5} and PM₁₀), would be reduced by similar ratios.

¹⁸ Priority SUMP issues will vary, but it is clear that congestion will be identified as key problem by a large proportion of cities. It is estimated that nearly 100 billion euros (approx. 1% of EU GDP) are lost to the European economy due to traffic congestion. Cities like London and Milan have shown that it is possible to improve efficiency by implementing congestion charging alongside other measures (EMAS & Rupprecht Consult, BEMP, 2014). By identifying congestion reduction as a key SUMP-Up target, it is intended that the project will collect data and contribute to the wider body of evidence on what packages of measures are effective in different contexts.

about 6000 people in all regions of Europe (ICLEI's e-newsletter alone, for example, reaches 1800 contacts). The consortium has the capacity to directly inform these 6000 contacts about the SUMP-Up project.

SUMP-Up will take advantage of these channels, but will also create a more concise list of hand-selected European mobility experts. This list will, for example, incorporate EUROCIITIES' unique contacts gleaned from their Mobility Forum (around 500), as well as contacts from other mobility related initiatives the consortium partners are involved in as well as all contacts that have declared their interested with a Letter of Intent, mainly related to the Innovation Pilot Pool. It is estimated that this core list of contacts will include about 2000 contacts and will grow over the project's lifetime. To create this list and to detect possible gaps (e.g. at national level) an extensive stakeholder/contacts mapping will be conducted as part of the communication strategy. The aim is to collect at least 250 new contacts by the midterm review of the project. This list will also cover the vast majority of mobility planning authorities in Europe which are the core target audience for the Innovation Pilot Pool calls and for participating in capacity building. National level representatives will also be part of this SUMP-Up audience list. Table 2.9 shows a rough overview of the audience composition and their involvement, which will be further elaborated in the communication and dissemination strategy.

Table2.8: Reach-out to the target group

Audience/No	Composition	Involvement
PRIMARY/ 2000 ->2250	SUMP-Up audience list: 2500 Mobility experts - independent urban mobility experts/consultants, research institutions, regional mobility planning authorities.	This group will receive all SUMP-Up information, with a particular focus placed on outcomes, reports and new publications. They will be included in the project's core communication channels, but will also be targeted via other channels e.g. Linked In, Twitter, etc.
2 specific target audiences	100 mobility authorities involved in the IPP.	They will receive specific information on the ULA, the events, next engagement possibilities, etc.
	600 mobility planners involved in capacity building.	They will receive SUMP-Up information related to capacity building and engagement.
SECONDARY/ about 300 contacts	Central government representatives and national policy-makers	They will receive all of the project's core information, with a focus on national framework conditions.
TERTIARY/ 6000 contacts	General contacts of the four city networks + contacts of all partners of the consortium	They will receive general information related to the project. They will be invited to engage and to further distribute the information.

In addition to this centralised online dissemination, SUMP-Up will also work closely with consortium partners to spread its message. City Partners, for example, are forerunners and role models and will act as (national) multipliers. Especially within their national context, they will lead the dissemination process and will spread the SUMP concept across their country. SUMP-Up partners will also attend events where they will give interactive presentations, and use networking opportunities to communicate the potential of the project.

Partners will also play a crucial role in the SUMP-Up "Learning in community" approach, which will be a mix of face-to-face learning and online exchange. They will facilitate workshops, share their experience and be thematic experts for respective topics. The unique SUMP learning programme will be available across Europe but with a special focus where take up is low. These cities and countries will be selected based on the results of WP1. The overall goal is to achieve progress in the development of SUMP-Up and its quality in a majority of mobility planning authorities in Europe. Through the blended capacity building in five Urban Learning Alliances (15 webinars, 15 moderated online courses, 15 face-to-face workshops) 100 SUMP-Up will be make significant improved. 30 of them will be brought to the level of formal adaption. These 100 planning authorities will not only improve their SUMP-Up, the will become active multiplier of the concept. In general, over 600 urban mobility experts will participate in the capacity building programme. They will be

actively engaged also in other activities of SUMP-UP such as LinkedIn discussion groups or Instagram photo competition. This is a way to link this target group closer to SUMP-UP than just by participating in one single event.

SUMP-UP partners will also promote the project and its products within their respective organisations, alerting colleagues working on similar projects and striving for inter-project promotion and possibly more significant collaboration. All partners will be made fully aware of their dissemination duties during the project's lifetime and will be guided by the lead partner for communication (ICLEI). ICLEI will make it easy for partners to engage in dissemination and promotion activities, providing them with ready-made communication products such as presentations and videos, but also supporting them in developing their own communication materials.

Exploitation

From the beginning of the project, the exploitation of results will be strategically embedded in the project's activities. Two WPs have been formulated that directly tackle this issue, ensuring that exploitation is embedded as a key element in the project. A forward thinking exploitation strategy will be in place that will be used as a living document over the project's lifetime. At the end of the project the successful SUMP-UP exploitation process will have achieved the following outcomes:

- The SUMP Tool Inventory as well as the SUMP Registry will be well-established online formats that will run independently. Their structure and content will be broadly used by mobility planning authorities across Europe.
- A large amount of the capacity building material will be replicable and made available via online open source formats for further use.
- At national level, SUMP-UP will foster support for SUMP, creating a long term commitment to the concept.
- Having gained experience and inside knowledge on how to best implement the Innovation Pilot Pool mechanism, SUMP-UP will approach business partners and possible donor organisations who may be interested in taking over the management structure.

The project will strive to create strategic partnerships with other ongoing European initiatives, such as the CIVITAS Dynamo competence centres, which aim to bring knowledge and best practice examples of SUMP processes and implementation together, and aim to act as a knowledge platform for cities. These centres have already declared their interest in SUMP-UP through a Letter of Endorsement¹⁹.

Eltis is also considered to be one of the most important strategic multipliers. Through Eltis, it is foreseen that SUMP-UP products will find a new "home" with an already-established audience. As ICLEI is the Eltis content editor, cooperation with Eltis will be easily managed.

SUMP-UP will furthermore connect to European initiatives in other fields (e.g. city development and energy policy), such as the Covenant of Mayors and the SMART Initiatives. The latter has also declared interest in the project through a Letter of Endorsement. The project will coordinate with other EC funded projects dealing with SUMP activities. Agreement should be made on mechanisms to prevent duplication in efforts, particularly in the case of cities involvement.

(b) Communications

SUMP-UP will conduct applied research throughout the project, generating interesting and valuable information that will be converted into technical papers, reports and scientific publications. The project leaders will ensure that the latter are open source publications, which will be made available on the SUMP-UP website. The SUMP-UP knowledge will also be promoted in more attractive, easy-to-digest formats, such as brochures and fact-sheets, ensuring that the content is made accessible to stakeholders and the general public. To make end-users aware of relevant materials, SUMP-UP will publish them on their project website, as well as on related online resources such as Eltis and CIVITAS. It will also take advantage of all available partner communication channels to achieve further dissemination. SUMP-UP will utilise both classic project communication channels, such as a regular newsletter and a project-website,

¹⁹ Refer to the Letter of Intent collection following Section 5.

with dynamic social media approaches, setting up a presence on Instagram for example. A thorough and systematic strategy will guide all communication activities, and will ensure that the following communication measures are implemented at a minimum:

- Development and maintenance of the SUMPs-Up website, creation of social media channels including Facebook (50 posts/year), Twitter (100 tweets/year) and LinkedIn (40 posts/year) accounts; development and maintenance of Instagram and Youtube channels;
- Production of a total of six blog posts per year, as well as videos, sets of photographs and podcasts;
- Dissemination of 2000 leaflets and postcards; distribution of seven E-newsletters;
- Delivery of 14 results publications;
- Representation at over 20 mobility project events
- Provision of a press corner with at least six press releases for local and European media;
- Organisation of one public event and one final SUMPs-Up conference;
- Support to other partners in their dissemination efforts
- Use of SUMPs-Up workshops as dissemination opportunities

As explained above the communication messages will be tailored for different target audiences. The table below shows a model for a targeted Message Matrix that will be incorporated in the communication strategy.

Table2.9: Message Matrix (example)

Audience	Message 1	Message 2	Action (in order of priority)	How to reach them (in order of likely impact)
Local authority/transport planners	SUMP can stimulate a shift to cleaner and more sustainable transport in cities.	The SUMPs-Up project offers technical support, e-learning, training and mentoring to help cities develop and implement SUMP	<ul style="list-style-type: none"> - Tender for technical support (WP5) - Register for e-learning/training/mentoring (WP4) - Utilise tool inventory/measure packages (WP2) - Sign up for e-newsletter/call updates - Follow project on Twitter/Facebook/LinkedIn 	<ol style="list-style-type: none"> 1. City network member communication channels (websites/social media/e-newsletter) and events 2. Mobility projects (Eltis, ENDURANCE, etc), communication channels (websites, social media/e-newsletter) and events 3. European Commission channels (DG Move website) and events 4. Direct email

The SUMPs-Up communication and dissemination efforts will particularly be focused on cities and countries where SUMP take up is low. In these cases, the collaboration with national multipliers and City partners as national models will be crucial. Translation and interpretation of relevant messages and outputs will be used to ensure that the SUMPs-Up outcomes are accessible for everyone.

Data protection/management

SUMPs-Up will collect personal, non-sensitive data through publicly available resources. Based on the collected data, potential participants will be contacted using the 'opt-in' e-mail method. The target audience will be provided with the opportunity to unsubscribe from the database at any time. Unsubscribed contacts will be immediately and permanently removed from the database. *Please refer to Section 5 for further information on SUMPs-Up Data management and protection policy.*

3 Implementation

3.1 Work plan – work packages, deliverables and milestones

To implement the four step SUMPs-Up concept (Validate – Systemise – Accelerate – Secure) the project will be realised through the following structure. The structure is characterised by clear and comprehensive WPs that cooperate intensively to ensure that the project will reach its objectives, while retaining enough flexibility to address specific needs and challenges as they arise:

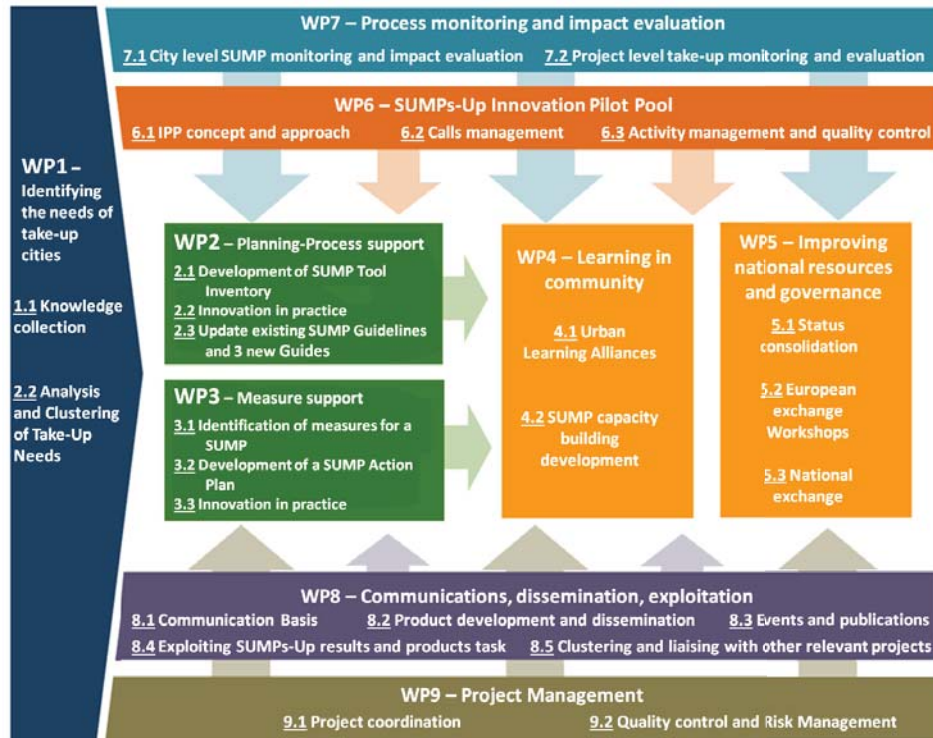


Figure 3.1 Project structure

Validate: In WPs 1 and 7 the project will gain a greater understanding of challenges faced in urban areas where SUMP take-up is low and expand existing knowledge on European SUMP development. SUMPs-Up will start with a thorough analysis of the current European situation to verify certain presumptions and assess barriers to take-up to be tackled (WP1). This knowledge will be extremely valuable in preparing the ground work for all subsequent WPs. The knowledge base will also help in conducting further research, primarily carried out in WP7. SUMP implementation at the local level will be studied intensively as part of WP7 throughout the project.

Systemise: To boost SUMP implementation in European cities, two WPs (WPs 2 & 3) will focus on the improvement of knowledge provision for authorities to apply SUMP. Therefore, an in-depth tool reviewing process will be conducted that will lead into and inform the production of guidance materials and an online tender, the SUMP Tool Inventory, for planning authorities. While these WPs operate in close cooperation with a similar logic, their specific content means that their outputs will significantly differ. One task that is implemented in both is related to the work of city partners, who will try out innovations (regarding planning and implementing measures) in practice. WP3 will also feed information into the creation of the SUMP Tool inventory, which will examine, adapt and then combine outputs generated in specific packages with coherent plans for various types of cities (WP2). Both WPs will work based on the outcomes of WP1 and will adjust their results based on the research conducted under WP7.

Accelerate: Based on the outcomes of, and in close cooperation with, WPs 1-3, the SUMPs-Up “Learning in community” programme will be developed (WP4). While one task will be open to all mobility experts interested in SUMP, mainly drawn from mobility planning authorities across Europe (T4.2), the other will specifically focus on mentoring the cities using the Innovation Pilot Pool (T4.1). Combined with targeted communication and outreach activities (WP8), this will guarantee a comprehensive and holistic promotion of the SUMP approach across Europe. SUMPs-Up will also add value by building on the strength of the local,

regional, and national policy levels. The latter is particularly important as it establishes structures crucial for solid take-up through respective national frameworks (WP5). To allow a diverse range of European cities to participate in SUMP-Up, competitive Innovation Pilot Pool (IPP) calls will offer technical support. Together with the mentoring of these cities in Urban Learning Alliances, SUMP-Up will kick-off, develop and implement SUMP activities (WP6, WP4).

Secure: Continuous monitoring and evaluation will allow the project to assess the positive impacts of SUMP (WP7). WPs 4, 6 and 7 will closely cooperate to monitor SUMP development in IPP subcontractors (planning authorities, local and regional stakeholders and mobility expert organisations) and ensure that high-quality SUMP are developed, implemented and sustained throughout the project. WP7 will additionally be devoted to project monitoring, while WP8 will play a crucial role in making SUMP processes mainstream by creating and disseminating communications materials that will capture and raise awareness of the project's findings. Efficient project management (WP9) will ensure that partners work seamlessly together across all WPs. A specific focus will be placed on the exploitation and long-term effects of the project. An exploitation strategy for the products and outcomes will be designed and implemented by WP8. WP9 seeks for strategic partnerships to be established from the beginning of the project and will encourage active exchange with other European projects and initiatives.

3.1.1 Work package descriptions

[illegible]

3.2 Management structure and procedures

3.2.1 The Management Structure

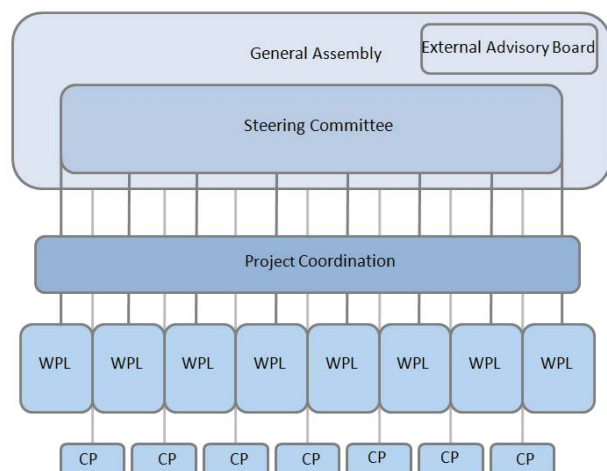


Figure 3.2: Management Structure

SUMPs-Up will be managed in a clear and comprehensive manner, with a project coordination that combines elements of all other established management bodies.

GENERAL ASSEMBLY (GA): A General Assembly will be established consisting of a senior representative from each of the partners. It will be the ultimate decision-making body in the project and will deal with critical issues affecting the project as a whole, such as the overall strategy, the exploitation and dissemination plans and other matters that the Steering Committee decides to refer to a higher level. GA members will be required to have the authority to take corrective actions and make decisions as necessary within their respective organisations. The GA will approve (via the

Consortium Agreement) the management structure and the decision-making principles and responsibilities of all management bodies as described in this section before the start of the project. Typically, the GA will deal with major amendments to the work plan, changes in the composition of the Consortium, and changes in effort/budget allocation between work packages. The GA will also monitor and review progress, ensure that objectives are met. The GA will meet at least once a year, primarily face-to-face. For decision purposes, each member of the GA will be allocated one vote. Two thirds of the members attending a meeting of the GA will constitute a quorum. Simple majority of the attending members will be enough for decision adoption.

STEERING COMMITTEE (SC): The steering committee consists of all work package leaders, including the project coordinator, who will also chair the committee. It will be an operative body in charge of daily coordination of the project work, including monitoring and following up on progress in each WP and dealing with interfacing between WPs. The SC will be responsible for approving minor amendments to the work plan, approve deliverables and changes in the effort/budget distribution within WPs. The SC will have the prerogative to require specific actions or reports from the project coordinator and/or WP Leaders in order to solve issues that cannot be clarified or agreed at a lower level. These include the resolution of disputes and matters relating to allocation of efforts, as well as situations in which the project efficiency might be endangered. The SC will meet at least every three months, either face-to-face or (preferably) via tele- or web-conferencing. For decision purposes, each member of the SC will be allocated one vote. Two-thirds of all members (or their deputies) will constitute quorum. Simple majority will be sufficient for decision adoption.

PROJECT Coordination (PC): The project coordination lays with the leader of WP9, ICLEI, who will set up a project management office to follow-up activities and monitor compliance with the work plan, including planned resources and time schedules. ICLEI will work in close cooperation with all other WP leaders, and will additionally carry out WP8 –Communication, dissemination and exploitation. ICLEI will facilitate communication among partners, ensuring timely delivery of the project deliverables and tracking milestone achievements. The PC will also liaise with the European Commission.

The PC will further manage, in close cooperation with WP7 (monitoring and evaluation), the control procedures on deliverables. It will deal with partnership management (e.g. accession of new partners, withdrawal, relationships with external collaborators), Grant Agreement and Consortium Agreement management (e.g. amendments, third parties) and other legal issues. It will closely cooperate with the WPL in periodic reporting. The PC will be responsible for overall financial management (cost control and justification, budget management), follow closely the mechanism of the Innovation Pilot Pool, support the

GA and SC in budget rearrangements, and support all partners in financial and administrative tasks. Finally, it will support with the organisation of meetings and the production of the corresponding minutes.

WORK PACKAGE LEADERS (WPL): Each work package is the responsibility of one partner who will act as the Work Package Leader. Each WPL will have responsibility for the day-to-day management and coordination of the activities included in their respective work package(s). The WPL will coordinate and implement the work package activities, implement solutions, produce deliverables, identify risks, follow them up, and report back to the project coordinator on the progress achieved. They will be in charge of ensuring adequate re-assignment of roles and responsibilities within their respective WPs as decided by the SC. Finally, they will support and facilitate the execution of any task involving any activity within their own work package.

CITY PARTNERS (CP): City partners are full partners of the project consortium: they have the same rights as WPL and will be part of the general assembly, but to keep the project management light and comprehensive they do not need to participate in the steering committee meetings. They are important actors in successfully implementing the project and relevant in the project management structure and decision making, therefore their participation at the GA is crucial.

External Advisory board (EAB): An External Advisory Board, with consultative functions, will be formed by independent external experts. Their expertise and knowledge will assist both the GA and the SC in fully grasping the scientific, technical and political aspects of the project subject matter. The EAB will meet physically twice during the project lifetime and might occasionally be asked to participate in online meetings to give advice on specific challenges. Physical meetings will take place at the kick-off and during the midterm review. The groups will consist of five people. The following EAB member roles are envisaged for the project:

- *Representative of a scientific body e.g. a technical university*
- *Representative of the business sector e.g. Siemens or InnoZ Berlin*
- *Local representative of a relevant "other sector" e.g. sustainable energy or SMART cities projects*
- *Civil society representative e.g. Transport and Environment*
- *Representative of the European Commission*

First contact to possible advisory board members has been established; the final decision regarding seat allocations will be taken after the approval of the project.

3.2.2 Internal communication

A consortium communication policy will be established by the PC, making extensive use of electronic resources. A password-protected Intranet or a similar market-available solution will be set up to support management activities, and facilitate communication and exchange of information among participants. Templates for progress reporting will also be set up. Participants will be encouraged to hold WP meetings as necessary for the implementation of the work. Formal minutes will be written and circulated to ensure all decisions made are followed up on. To ensure that project results are accurate and reported correctly, the SC will ask all partners to keep detailed records of input into the project, including all dissemination and outreach activities. Communication tools for information exchange will be agreed upon in the first online conference and the kick-off meeting. All information circulated will be treated as confidential unless identified as public.

Table 3.2 a: Table of Events

WP	Event	No.	Who?	Where?	When?
1	Focus group meetings	2	Planning authorities, experts and city representatives	During relevant internal or external event	First: M10; Second: M20
1	Interviews	5	Planning authorities, experts and city representatives	During relevant internal or external event	To be defined

3	Financing and procurement workshop	1	Planning authorities, experts and city representatives	To be defined	M24
4	Capacity-building workshop/ study visits	15	Urban Learning Alliances (made up of planning authorities, experts and city representatives)	Available across Europe but with a special focus where take up is low.	Launch: M7
4	Support and peer-exchange webinars	15	Urban Learning Alliances (made up of planning authorities, experts and city representatives)	Online	To be defined
4	Moderated online courses	15	Urban Learning Alliances (made up of planning authorities, experts and city representatives)	Online	To be defined
4	One-to-one expert support sessions	100	Urban Learning Alliances (made up of planning authorities, experts and city representatives)	Available across Europe but with a special focus where take up is low.	To be defined
4	Self-study online courses	7	Mobility planners	Online	To be defined
4	Webinars	6	Mobility planners	Online	To be defined
4	Face-to-face workshops/ study visits	8	Mobility planners	To be defined	To be defined
5	National SUMP workshops <ul style="list-style-type: none"> European exchange National exchange 	9	National and European policy-makers	In countries where SUMP frameworks should be improved	European launch: M12 National launch: M15
8	Public event	1	City representatives and other stakeholders	Brussels (Belgium)	M20
8	SUMPs-Up conference	1	City representatives and other stakeholders	To be defined (back-to-back with European SUMP conference)	M40

3.2.3 Innovation Pilot Pool management

A special feature within the SUMPs-Up project is the Innovation Pilot Pool (IPP), an innovative mechanism allowing to identify the effective concepts, approaches and methodologies in SUMP practice. As part of the project design, an entire WP has been dedicated to the IPP. This WP is primarily responsible for communication with, and management of, those subcontractors and mobility practitioners that apply to the respective calls for tenders.

The WP6 leader will further develop the IPP concept and the respective support and technical assistance possibilities in cooperation with WP1 (Identifying the needs of take-up cities); WP2 (Planning-process

support); WP3 (Measure support); and WP5 (national take-up), resulting in the IPP's detailed Terms of Reference (ToR). These will include detailed objectives; different support formats and concepts; methodologies; timeline; evaluation; and subcontractors selection procedure (including the role of the Agency or EC in confirming each IPP call's confirmed subcontractors); financing; promotion; and reporting and quality management assurance procedures.

Evaluations of the received quotes will be completed by the SUMP-UP WP leaders, who will present an offer for subcontracting to the Agency/EC for information within two weeks after the call closure. Within the week after the Agency's/EC's response, the applicants for tenders will be informed about the results.

The ToR will be the basis for three annual calls – in line with the planning of development of SUMP-UP tools and services, starting based on the first outcomes of WP1 (M6) to enable intensive activity throughout the project, and ending six months before the end of the project to enable proper reporting and results analysis. Each call will be announced one month in advance through relevant channels (city network partners, Eltis, CIVITAS, EPOMM, etc.).

Call documents (ToR, Frequently Asked Questions) will be made available on the day the call opens, together with a standard template for a tender which will be online available, to enable a smooth tender process. A helpdesk to create a direct connection to the IPP management will be established by the task leader. This form will be accessible through the Eltis and SUMP-UP website. The IPP will allow tenders of individual and joint subcontractors. The working language will be English.

SUMP-UP will ensure compliance with public sector tendering rules and award subcontracts based on best value for money principles.

The selected tenderers will commit to completing the activities e.g. delivering a feasibility study, best practice study, or assessment report by means of a subcontract and a letter signed by an executive representative of the subcontractor to ensure commitment.

In parallel to the annual calls, SUMP-UP may consider developing a series of on-call, ad hoc tenders for technical assistance.

Also a travel support facility will be established as part of the IPP, which will allow mobility practitioners to participate in WP4 activities (ULAs, workshops etc.). Planners interested in attending these events can apply for reimbursement of travel costs.

Once the formalities for a call have been completed, the subcontractors will need to be monitored. This monitoring will go beyond simply administrative follow up; the successful tenderer will need to provide content-related updates and share preliminary and final results by actively engaging in WP4's ULA activities. SUMP-UP partners will split responsibilities for controlling proper monitoring in WP 4.

The quality of the technical assistance's process and outputs will also be monitored in close cooperation with WP7. The IPP envisages four types of outputs:

- **Increased knowledge:** active contribution and assistance to improve tools, methodologies and processes collated and/ or developed by SUMP-UP;
- **Improved procedures:** active contribution and assistance to the SUMP-UP activities aimed at establishing and confirming procedures for decision-making, financing, evaluation, etc;
- **Policy documents and strategies:** development of policy documents and strategies that are linked to aspects of establishing and implementing SUMP-UP and can be used as pilot case-studies in SUMP-UP;
- **Integrated take-up trajectories:** processes supporting the combination of the three aforementioned elements.

IPP subcontractors will be asked to produce studies focusing on process and outputs. These reports will be analysed by WP5 and WP7, and commented on generally by all the WP leaders, resulting in a quality-assured IPP documentation that includes both the reports and general information about the implementation of the call.

3.2.4 Gender and Diversity aspects

Wherever and whenever possible, the SUMP-UP project consortium will take gender and diversity aspects into account in its work. For the consortium, sustainable urban mobility planning also means integrating inclusive, empowering and accessible planning aspects. Gender and diversity considerations will be included in all stages of implementation, from needs assessment to monitoring, with a special focus on

ensuring fair and diverse representation of women and vulnerable groups in all project processes. Gender and diversity issues will be an integrated part of the Quality Control, and reporting and evaluation templates will also take this aspect into account. Gender and diversity aspects will therefore be translated into a concrete assessment methodology, with due regard to gender-sensitive analysis of user needs and practices. The ULAs and the capacity building will take different geographic and cultural contexts into account and will include awareness raising activities, emphasising the importance of inclusive mobility planning. Gender and diversity aspects will be taken into account when designing the Innovation Pilot Pool calls and will also be integrated into the evaluation criteria. Last but not least the compilation of the consortium members takes gender balance into account. The SUMP-Up proposal was, and the project coordination will, be led by a woman. The steering committee also strives to achieve gender balance.

3.2.5 Risk management and contingency planning

SUMPs-Up places great importance on systematically identifying and mitigating risks when implementing project tasks. In order to be able to respond appropriately, the risk management plan below identifies potential project risks and proposes risk-mitigation measures. Identified risks will be assessed at an early project stage in terms of level of impact and the probability of becoming a challenge for the overall SUMP-Up objectives. The project coordinator will monitor the risk mitigation process throughout the project.

3.3 Consortium as a whole

Europe's key players in sustainable urban mobility planning have joined forces to drive the wider take-up, development and implementation of the SUMP concept. The consortium assembles 15 partners from 11 European countries (Germany, Belgium, Finland, Sweden, France, Italy, Spain, Hungary, Bulgaria, UK and Greece) and consists of public and private partners that bring together knowledge and experience from SUMP implementation across Europe.

Figure 3.3: European Map of consortium partners (No.1-15 refer to partner numbers on page 1)



Below the consortium introduces its strengths, complimented by introductory quotes from consortium members:

"We are Europe's SUMP avant-garde and represents to over 380 European cities,"
Pamela Mühlmann, ICLEI

Four major city networks - Polis, ICLEI, EUROCITIES and UBC -, representing over 380 European cities, will take part in the project. These networks, together with SUMP-Up City Partners, will play a crucial role in promoting and accelerating the take-up of the SUMP concept.

The consortium is a mix of public and private sector organisations coordinating major European SUMP projects, including the authors of the European SUMP Guidelines and a group of frontrunner cities spearheading the new planning paradigm.

The partners have complementary expertise covering all required competences to carry out

SUMPs-Up's activities, making the SUMP concept a mainstream approach in local and regional authorities and initiating the development of at least 100 high level SUMP across Europe.

“We build upon key European projects and initiatives and will boost their impact,” Siegfried Rupprecht, Rupprecht Consult

SUMPs-Up will bring together the best available policy, process and implementation knowledge to boost European SUMP take-up while also strengthening the impact and durability of existing initiatives. The consortium members have been at the forefront of developing the SUMP concept through leading roles in European mobility projects and initiatives such as Eltis(-Plus), CIVITAS, Do The Right Mix, CH4ALLENGE, ENDURANCE, ADVANCE, Poly-SUMP, Solutions, PUMAS, TIDE, SHAPE-IT and EVIDENCE. SUMPs-Up will not duplicate existing formats or structure, but rather make them more accessible and usable by cities. One of the partners, Rupprecht Consult, was the main driver of the development of the SUMPs approach, having developed the SUMP guidelines. Currently, Rupprecht Consult is developing a core SUMP tool, the SUMP Self-Assessment for cities.

“We are aware of where SUMP take-up is low and why,” Hanna Hüging, Wuppertal Institute

SUMPs-Up will focus on countries where take-up is low and where national policy framework support for SUMPS is currently lacking (e.g. Central and Eastern European countries/cities). The project will target specific types of cities that require further support in adapting existing SUMP guidance, such as small and medium-sized cities, metropolitan areas, austerity-hit cities and peripheral cities. It will also initiate, adapt and further develop the SUMP approach in cities with specific thematic challenges (e.g. freight, clean vehicles, non-motorised modes, intermodality). SUMPs-Up has already performed preliminary robust research that indicates in which European cities project support is most needed. With the Wuppertal Institute a Europe-wide, noted research institute is a partner in SUMPs-Up. This partner will supervise all ongoing research.

“We provide support to cities to initiate a large-scale European SUMP take-up,” Peter Staelens, Eurocities and Ivo Cre, Polis

SUMPs-Up will provide local authorities with a review of tools to support an effective SUMP process (e.g. on citizen and stakeholder involvement, vision-building, target-setting, evaluation and quality control) and package solutions for measures that address a range of thematic areas - including non-motorised, road and public transport, freight and ITS - but also more related topics such as renewable energy and climate protection. Experience shows that SUMP take-up requires a certain degree of flexibility to offer local authorities the support they need. SUMPs-Up will therefore set-up an Innovation Pilot Pool (IPP) to distribute tailored technical and administrative support. Polis, who will be primarily responsible for the IPP has a lot of experience in managing such a facility. Together with the other networks they have immediate access to over 350 European cities, and as the Letters of Intent show there is support from all kinds of different cities across Europe.

“We cooperate with EU Member States to build supportive SUMP frameworks,” Thomas Durlin, CEREMA

The Urban Mobility Package emphasises the role of EU Member States (MS) developing SUMP framework policies to facilitate local SUMP take-up. SUMPs-Up will foster dialogue between MS in different exchange workshops and meetings focused on building supportive frameworks for SUMPs; establish regular professional exchanges at governmental level; and improve interactions between central and local governments. The consortium is aiming to establish a culture of collaboration between these political levels that helps to improve the framework conditions for LAs to implement SUMPs. With CEREMA, a French frontrunner organisation has joined the consortium. It will carry out the work outlined above and will use its knowledge of implementation in France to build upon across Europe.

“We are SUMPs-Up,” Laszlo Kerenyi, Budapest; David Harris, Birmingham; Peter Håkannssons, Malmö; Metodi Avramov, Sofia; Ifigeneia Balampekou, Thessaloniki; Inaki Baro, Donostia; Chiara Ferroni, Torino;

SUMPs-Up is a dynamic programme that responds to the needs and challenges of cities. The project will include flexible elements, enabling it to tackle the most urgent problems experienced by cities in their SUMP take-up. The project will widely promote SUMPs and its support tools; provide capacity-building and mentoring tailored to different planning contexts and cities; and foster interaction on SUMPs among the relevant political levels. The SUMPS up city partners play a crucial role in this process. They are all well experienced SUMP users, will act as multipliers and role models and will accelerate the take up from by

peer-to-peer activation. All consortium partners are fully committed and are willing to deploy all necessary resources to achieve the goals and objectives of SUMPs-UP.

3.4 Resources to be committed

SUMP-UP is in total asking for a grant of 3.999.921,25€, of which €1 million is reserved for city activation in the form of an Innovation Pilot Pool. This acceleration mechanism will support mobility planning authorities to prepare SUMP related actions. The Innovation Pilot Pool mainly consists of subcontracting costs, and a micro-fund of 120.000€ that will be part of the "other costs" budget line, as it offers smaller amounts for direct support for particular actions of single tenderers, e.g. travel and accommodation.

The largest budget category are personnel costs of 2.045.768€. This budget request is based on detailed resource planning in each WP and reflects the efforts needed and is based on the substantial project experience of the participating partners.

"Other direct costs" of 438.469€ are mainly dedicated to travel to project workshops and events, for project management and dissemination-related activities. Furthermore this also includes catering costs, software licences costs, fees for events, interpretation support and costs for a final conference etc.

Indirect costs are calculated according to the financial rules (25% flat rate of personnel costs) resulting in 619.984,25€.

3.4.1 Personnel costs

The calculation of the personnel costs in SUMPs-UP is based on the work plan and the distribution of efforts among the different activities and partners. To ensure maximum efficiency, efforts have been carefully adjusted on the WP and task levels. In a first step the partners' roles and their level of involvement in each of the activities have been defined. This estimation has been refined through a number of iterations to ensure that the allocation of responsibilities are coherent in light of the expected contributions of the partners, their expertise and the intensity and complexity of the tasks to be carried out. The additional efforts of WP leadership, project management and IPP management have been taken into account. In a second step, and in order to calculate the personnel costs, the contribution of each partner to each activity has been converted into effort, measured in person-months, resulting in the aforesaid total effort of 344,5 person-months (PMs). Then, each partner has provided a realistic average person month cost, weighted according to the different types of personnel to be involved in the work and in accordance with the institution's policy and Horizon 2020 rules. The estimation has been refined to ensure that the effort allocations were both consistent and in accordance with the complexity and efforts required, and consistent overall. This results in a total amount of 2.045.768€ staff cost.

For all partners PMs are allocated for participation in project management (WP9) as well as in WP8 for their contribution to communication and dissemination efforts of the project. ICLEI holds most of the PMs in these both WPs as WP leader and Project Coordinator. With 45 PMs Rupprecht Consult holds the second largest portion of the PMs. They are WP leader, and main supporter in 3 other WPs. They will support the project management and manage crucial tasks such as WP4.1 (Urban Learning Alliances). Together with Polis they also hold the biggest share of the Innovation Pilot Pool, which will lead to additional administrative effort. The same applies to WI and ICLEI, whose personnel efforts are allocated to WP6 (Innovation Pilot Pool). In general, WP2 has the highest staff effort (66,0) as it is the central WP to generate to content of the project. Incorporated in these 66 person months are also 6 PMs for each of the 7 city partners' tasks "Innovations in practice". The same approach was used in WP3, which will also deliver core content and also hosts the "Innovations in practice".

All City Partners hold the same share of person months, having a strong focus on "Innovations in practice" tasks in WP2 and WP3. This budget was defined in an iterative exchange with the City Partners about innovations realistically to be implemented during the project lifetime; the fine tuning of these tasks will be undertaken at project start.

3.4.2 Other direct costs

Despite intensive use of electronic communication tools the participants from 11 different countries will occasionally have to travel to face-to-face meetings. A common policy for the whole consortium has been followed to estimate the minimum necessary for attending project meetings and a general average rate of 750€ has therefore been agreed per travel. For the financial reporting travel costs will be cleared on a "real cost" basis. On this basis, an amount of 149.250€ will be spent across 15 partners on travel costs. In addition, meetings will be held online, project meetings, meetings of the ULAs and for capacity building events.

ICLEI holds most of the "other cost budget" with 240.050€. This amount includes 120.000€ micro-funding, and budgets for printing and translation costs for the whole project, catering costs for meetings and all travels for the Advisory Board.

Audit costs are claimed by ICLEI, Polis, Rupprecht and WI. Rupprecht will provide the project with electronic communication tools (GoToMeeting, SharePoint etc.) and a platform for e-learning. The costs for these tools will be shared between all projects at Rupprecht that use them. For all other partners the other costs mainly consist of travels.

Each City Partner holds an amount of 2.200€ (1.000€ in WP2, 1.200€ in WP3) for travel/conference fees. Once the "Innovation in practice" will be fixed and planned at the beginning of the project (see WP2.2) City Partners will present a plan for implementation including "other cost" planning. They also have a 1.500€ travel budget each for promotion-related travel.

3.4.3 Subcontracting

A unique feature of SUMPs-Up is the tender of an Innovation Pilot Pool (IPP) dedicated to the subcontractors and mobility practitioners that provides technical support for the establishment of SUMPs. The IPP actions will be implemented by WP6. Its management is further explained in section 3.2.3.

In three annual calls, the IPP will offer support to individual and joint subcontractors. The IPP will be implemented in WP 6, but relates to activities in WP 4 (learning and capacity building), WP 5 (SUMP support to national stakeholders) and WP 7 (in-depth monitoring of 10 selected authorities). Therefore, four project partners (POLIS, Rupprecht, ICLEI, WI) will share the Innovation Pilot Pool, based on their involvement in the Pool implementation. In order to share the burden of always ensuring a positive cash flow, as well as reducing financial risk of the project, the SUMP activities will be shared by POLIS and Rupprecht (WP 6), each holding €337.500.

Detailed guidance for calls for tenderers including eligibility and evaluation criteria will be developed based on experiences and arrangements agreed with the European Commission within the CIVITAS CATALIST and CAPITAL projects. The guidance will also specify a transparent and unbiased evaluation and selection procedure, the information of results and the terms and conditions for payment. Technical support will be given to successful Innovation Pilot Pool tenderers as subcontracts. Subcontract agreements will ensure that the authorities implement their actions as set out in their tender; authorities will receive the payment after acceptance of the documentation report for the given activity.

Budget category	WP	Target group	Cities/ Countries	Amount per subcontract	Total	Partners involved
Subcontract	WP 7	Planning authorities	10	13,000€	130,000 €	WI
Subcontract	WP 6	Planning authorities, mobility practitioners	90	7,500€	675,000 €	Polis/ RC
Subcontract	WP 5	National actors	5	15,000€	75,000 €	ICLEI

Other direct costs	WP4	Learning Alliances	200	600	120,000€	
					1,000,000 €	

In the first call subcontractors will support 10 selected cities, that will go through a whole SUMP development process accompanied by an extensive monitoring and evaluation process and will therefore receive 13.000€ each. The total amount of 130.000€ is therefore dedicated to WP7. In addition, 90 mobility planning authorities and practitioners will be chosen (WP6), who will receive 7.500€ each. This amount of 675.000€ will be equally shared by Rupprecht and Polis.

WP5 will work on the improvement of the national framework conditions, and this Innovation Pilot Pool will allow supporting national actions of mobility planning authorities in three Member States. The budget of WP5 will be taken over by ICLEI as the coordinator. ICLEI also takes over the micro-funding for WP4, under “other costs” that will allow 200 allocations of 600€ each (mainly for travel).

Work package 2, led by Rupprecht, foresees further developing the SUMP Self-Assessment Scheme. The Self-Assessment allows cities to assess the compliance of their Sustainable Urban Mobility Plans with EU requirements. The SUMP Self-Assessment will play a crucial role in SUMP-UP: the project will provide a first in-depth analysis of the SUMP status in Europe not later than one year after the tool’s official launch (WP 1), it will be strongly integrated into the planning process support to cities and the SUMP Tool Inventory (WP 2, WP 4), presented as a verification tool for European and national organisation (WP 6) and used for monitoring project impacts in Innovation Pilot Pool (WP 7).

The Self-Assessment is currently running under a ‘software as a service’ licence (survey software is centrally hosted with a service provider and licensed on a subscription basis), which limits flexibility to adapt the scheme. The tool’s pilot phase has confirmed that it is necessary to further develop the Self-Assessment and enhance its functionality. Improvement works in SUMP-UP will need to be conducted by web developers; building the scheme with its multi-dimensional scoring system requires specific programming skills. Improvement works will include converting the tool from a service provider-dependent tool to a stand-alone instrument; programming is foreseen to include features such as comprehensive benchmarking for participating planning authorities, auto-analyses of submitted assessments, enhanced user-friendliness (e.g. improved save and resume options) and full data security. A subcontract of 20.000 Euro is foreseen.

Table 3.4a ‘Other direct cost’ items

Participant	Cost (€)	Justification
1. ICLEI		
Travel (á 750€)	750 €	1 travel to focus group (WP1)
	2.250 €	1 travel per each call (3calls) to a ULA (WP4)
	1.500 €	2 capacity building workshops (WP4)
	750 €	1 national exchange workshop(WP5)
	4.500 €	6 travels for dissemination (WP8)
	6.750 €	2 travels for 5 External Advisory Board members (WP9)
	3.750 €	5 travels General Assemblies (WP9)
	2.250 €	3 travels Steering Committee meetings (WP9)
Micro funding	120.000 €	IPP fast track support facility; 200 supports á 600€; enable the participation in workshops and events
Equipment	-	-
Other goods and services	2.100 €	Hosting ULAs
	1.550 €	Hosting capacity building
	1.000 €	External speaker for ULA or capacity building
	18.000 €	Conference costs – Final conference
	2.000 €	Catering costs event Breakfast@Sustainability’s (WP8)
	10.000 €	3-5 Videos

	200 €	URL purchase
	1.500 €	E-Mailing costs, (Vertical response)
	800 €	Physical mailing
	1.000 €	Printing
	8.000 €	Visual identity (for selected products of all WPs)
	24.000 €	Translation (for selected products of all WPs)
	8.000 €	Auditing costs
	500 €	Moderation/facilitation Material (for all)
	9.000 €	Catering costs – management meetings
	900 €	Fees for events
Total	240.050 €	

Participant	Cost (€)	Justification
2. POLIS		
Travel (á 750€)	750 €	1 travel to focus group (WP1)
	2.250 €	1 travel per each call (3calls) to a ULA (WP4)
	1.500 €	2 capacity building workshops (WP4)
	1.500 €	1 national exchange workshop(WP5)
	4.500 €	6 travels for dissemination (WP8)
	3.750 €	5 travels General Assemblies (WP9)
	2.250 €	3 travels Steering Committee meetings (WP9)
Equipment	-	-
Other goods and services	2.100 €	Hosting ULAs (WP4)
	1.550 €	Hosting capacity building (WP4)
	3.000 €	Auditing (WP6)
	900 €	Fees 3 events (WP8)
Total	25.050 €	

Participant	Cost (€)	Justification
3. UBC		
Travel (á 750€)	2.250 €	3 travels ULAs, one per IPP call (WP4)
	1.500 €	2 travels capacity building (WP4)
	750 €	1 travel participation in WS (WP5)
	4.500 €	6 promotion travels, participation in conferences etc. (WP8)
	6.000 €	8 travels for project management (General assembly, Steering Committee) (WP9)
Equipment	-	-
Other goods and services	2.100 €	Hosting ULAs
	1.550 €	Hosting capacity building
	1.000 €	External speaker for ULA or capacity building
	900 €	Fees of conferences
Total	20.550 €	

Participant	Cost (€)	Justification
4. EURO CITIES		
Travel (á 750€)	1.500 €	2 travels to focus groups (WP1)
	2.250 €	Travel ULA workshops/study visits call 1 (3 travels) (WP4)
	1.500 €	Travel events for mobility (WP4)
	750 €	Travel (WP5)
	4.500 €	7 promotion travels, participation in conferences etc. (WP8)
	6.000 €	8 travels for project management (General assembly, Steering Committee) (WP9)
Equipment	-	-

Other goods and services	500 € 2.100 € 1.550 €	Catering (WP1) Hosting ULAs (WP4) Hosting capacity building (WP4)
Total	22.550 €	

Participant	Cost (€)	Justification
5. RUPTECHT		
Travel (á 750€)	750 € 2.250 € 750 € 750 € 6.000 €	1 travels to focus groups (WP1) Travel ULA workshops/study visits call 1 (3 travels) (WP4) Travel (WP5) Travel (WP8) 8 travels for project management (General assembly, Steering Committee) (WP9)
Equipment	2500 € 1.519 € 7.500 € 4.000 €	Cost for survey software (WP1) Cost for webinar software (WP4) Cost for hosting e-learning platform (WP4) Software self assessment (WP7)
Other goods and services	1.500 €	Auditing (WP2)
Total	28.269 €	

Participant	Cost (€)	Justification
6. TRIV		
Travel (á 750€)	1500 € 750 € 750 € 6.000 €	1 travels to focus groups (WP1) Travel (WP4) Travel (WP8) 8 travels for project management (General assembly, Steering Committee) (WP9)
Equipment	-	-
Other goods and services	-	-
Total	9.000 €	

Participant	Cost (€)	Justification
7. WI		
Travel (á 750€)	750 € 750 € 750 € 6.000 € 1.500€	1 travels to focus groups (WP1) Travel ULA workshops/study visits call 1 (1 trip) (WP4) Travel (WP8) 8 travels for project management (General assembly, Steering Committee) (WP9) Visits to cities (WP7)
Equipment	3.000 €	Cost for monitoring and evaluation software (WP7)
Total	12.750 €	

Participant	Cost (€)	Justification
8. CEREMA		
Travel (á 750€)	6.000 € 750 € 6.000 €	8 travels for exchange workshops (WP5) 1 promotion travel 8 travels for project management (General assembly, steering committee) (WP9)
Equipment	-	-

Other goods and services	5.000 € 800 €	Catering costs Interpretation
Total	18.550 €	

Participant 9. TOWL	Cost (€)	Justification
Travel	1.000 € 750 € 750 € 750 € 3.750 € 1.200€	Travel to focus groups (WP2) Travel (WP4) Travel (WP5) Travel (WP8) General assembly (WP9) Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

Participant 10. DSS	Cost (€)	Justification
Travel	1.000 € 750 € 750 € 750 € 3.750 € 1.200 €	Travel to focus groups (WP2) Travel (WP4) Travel (WP5) Travel (WP8) General assembly (WP9) Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

Participant 11. CoM	Cost (€)	Justification
Travel	1.000 € 750 € 750 € 750 € 3.750 € 1.200€	Travel to focus groups (WP2) Travel (WP4) Travel (WP5) Travel (WP8) General assembly (WP9) Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

Participant 12. BKK	Cost (€)	Justification
Travel	1.000 € 750 € 750 € 750 € 3.750 € 1.200€	Travel to focus groups (WP2) Travel (WP4) Travel (WP5) Travel (WP8) General assembly (WP9) Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

Participant 13. SMUC	Cost (€)	Justification
Travel (á 750€)	750 €	1 travel as expert for the ULA (WP4)

	750 €	1 travel to national representatives (WP5)
	750 €	1 travel promotion travel
	3.750 €	5 travels for project management (General assembly) (WP9)
	2.200 €	Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

Participant	Cost (€)	Justification
14. BCC		
Travel (á 750€)	750 €	1 travel as expert for the ULA (WP4)
	750 €	1 travel to national representatives (WP5)
	750 €	1 travel promotion travel
	3.750 €	5 travels for project management (General assembly) (WP9)
	2.200€	Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

Participant	Cost (€)	Justification
15. THEPTA		
Travel (á 750€)	750 €	1 travel as expert for the ULA (WP4)
	750 €	1 travel to national representatives (WP5)
	750 €	1 travel promotion travel
	3.750 €	5 travels for project management (General assembly) (WP9)
	2.200€	Travel/Conference fees (WP3)
Equipment	-	-
Total	8.200 €	

4 Members of the consortium

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3. UBC Sustainable Cities Commission (UBC)	
4. EUROCITIES	
5. Rupprecht Consult - Forschung & Beratung GmbH (Rupprecht)	
6. Trivector Traffic AB (Triv).....	
7. Wuppertal Institute for Climate, Environment and Energy (WI).....	
8. Centre d'études et d'expertise sur les risques, l'environnement, la mobilité et l'aménagement (CEREMA).....	
9. Fondazione Torino Wireless (TOWL)	
10. Municipality of Donostia/San Sebastian (DSS)	
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14. Birmingham City Council (BCC).....	
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4.2 Third parties involved in the project

5.1 Ethics

5.2 Security

Letters of Intent

4.1 Participants

No. 1	ICLEI European Secretariat GmbH	GERMANY
		ICLEI EURO
<p>Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:</p> <div data-bbox="151 495 443 663">  </div> <p>ICLEI - Local Governments for Sustainability is a worldwide association of local governments implementing sustainable development. ICLEI's mission is to build and serve a worldwide movement of local governments to achieve tangible improvements in global sustainability and environmental conditions through cumulative local actions. Today, ICLEI has more than 1000 local government members, with around 160 in Europe.</p> <p>ICLEI's European Secretariat with 50+ staff is based in Freiburg, with an office also in Brussels. Working through thematic teams related to urban sustainable development with a wide range of expertise and extensive experience in European project coordination and partnering, the organisation has a strong focus on building capacity, sharing knowledge, and supporting local governments in the implementation of sustainable development at community level - www.iclei-europe.org. ICLEI has a strong multilingual information and communication team, experienced with Europe wide communication strategies. The team is also experienced in organizing events, with one of the main conferences being the European Conference on Sustainable Cities and Towns (http://www.sustainablecities.eu/) mobilising around 1000 cities every three years.</p> <p>In SUMP-Up, ICLEI will take over the project coordination and will therefore be the WP leader of WP8 project management. It will take on the main responsibility for project communication work and will lead the respective WP9 Communication, Dissemination and Exploitation. Recognising the important role of transport and mobility in cities, ICLEI has been offering professional communication and dissemination services, as well as capacity building on a range of urban mobility issues. On behalf of the European Commission, ICLEI is a main partner in the development and maintenance of the ELTIS website (since 2013) and the European Mobility Week coordination secretariat (since 2012) and investigates scenarios and supporting tools in the scope of the Urban Transport Roadmaps 2030. ICLEI also has extensive experience in capacity building, development of (procurement and other) guidelines and Europe wide (and beyond) dissemination of sustainable urban mobility experiences in projects like CIVITAS (FP7), Clean Fleets (IEE), GPP 2020 (IEE), Poly-SUMP (IEE), ENDURANCE (IEE), SOLUTIONS (FP7), PASTA (FP7), BUMP (IEE), Biofuel Cities European Partnership (FP6), Trailblazer (IEE) and Care North (Interreg). ICLEI's World Secretariat was coordinator of the EcoMobility Shift (IEE) project, a total quality management scheme for cities to assess, audit and label their transport performance.</p> <p>Based on its broad training and capacity building experiences ICLEI will also support the tasks in WP 4, Learning in community and will facilitate at least one Urban Learning Alliance. Within WP3 ICLEI will lead the task on financing and procurement and will closely collaborated with it in house competence centre on green public procurement.</p>		
<p>Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:</p> <p>Dr. Pamela Mühlmann (F) Interdisciplinary Landscape development studies – Doctoral School Sustainable Development, PhD, Landscape Planning, MSc., (Senior Expert, Project Coordinator Governance and Social Innovation) joined ICLEI in 2010 and is currently working as a senior officer in the Governance and Social Innovation team. Holding a PhD from the Doctoral School Sustainable Development in Vienna, where she focused on volunteering and its impacts on local sustainable development, Pamela worked at a Viennese consultancy and took part in the trainee program of the Council of the European Union in Brussels. She also has a second degree in vocal education from the</p>		

University College for Agrarian and Environmental Pedagogy, Vienna. Her tasks at ICLEI include working as both a trainer and consultant in projects such as the URBES project (focusing on urban biodiversity) and Project 21 (focusing on small communities in Rhineland-Palatinate). She is focusing on the issues of sustainability, climate adaptation and mitigation, as well as biodiversity and regional development. Being a trained landscape planner Pamela has a specific interest in the topics of biodiversity, ecosystem services and green infrastructure. She was, for example, heavily involved in the CoR study on the multilevel implementation of the EU biodiversity strategy and is currently holding one of 20 expert seats in the IPBES Task force on capacity building. She is Austrian, having German as her mother tongue and is fluent in English and Italian.

Cristina Garzillo (F) Architect and Urban Planner, Ph.D, Master of Conservation of the Urban Environment, Co-ordinator for Governance and Social Innovation. Employed with ICLEI since 2005. Having almost 20 years of experience working in and for local governments, Cristina is recognised for her work as an expert in local sustainability processes, integrated management and governance as well as the author of numerous publications in the field of local sustainability, knowledge brokerage and transition. Cristina can also draw on a wealth of academic experience gained from her previous role as a contract professor at the University of Parma.

Ruud Schuthof (M) M.A. Public Policy and Administration & International Humanitarian Assistance (Communications manager. Role in project: head of ICLEI's Communications and Member Relations team, expert in organisational environment and change; involved in awareness raising and communication and dissemination coordination for European projects).

Ruud Schuthof has been working with ICLEI since 2008. He is at the head of ICLEI's Communications and Member Relations team dealing with ICLEI's information and communication services, events and membership relations. He is involved in awareness raising, communication and dissemination coordination for European projects, such as the EC-funded CIVITAS programme and European Mobility Week Campaign. Ruud is part of the coordination secretariat of the Eltis and SUMP portals. He is also involved in strategic programme development for events and city mobilisation, like the European Conference on Sustainable Cities and Towns in Geneva in 2013. Ruud has obtained over 13 years of work experience in the area of public governance and has been involved in projects with funding from the European Commission, GTZ, national ministries and UNEP. Furthermore, he is an expert in organisational environment and change.

Meritxell Díaz (F) joined ICLEI in May 2015 as an Officer in the Communications and Member Relations team. She is responsible for the communication and dissemination tasks within several projects, such as InnProBio, SPP Regions and GLCN, developing, implementing and monitoring the communication strategy, maintaining the websites' content and creating promotional material, news and press releases. She coordinates the mentioned tasks with external partners. With a BA in Journalism and a Master in International Studies, prior to ICLEI Meritxell Díaz worked at the Spanish Channel of the Chinese Central Television for more than two years, first as an editor and then as a TV-anchor and reporter. From 2010 to 2012, she was Public Information Officer at the Delegation of Catalonia to Argentina, in Buenos Aires. Previously she developed her professional career in Spain, as a journalist at different newspapers, magazines and publications, news agencies (Agencia EFE) and TV channels (CNN), covering political, social, economic and sports events and news. Meritxell speaks Spanish, Catalan, English, French and basic Chinese.

Gabriel Nock (M) MSc Computer Science / Computer engineering, Online Systems Coordinator (Expert), is an Online Systems Coordinator within the Communications and Member Relations Team. He has 12 years of work experience in the fields of:

Conceptual design and implementation of online projects, including web, software and database

<p>development</p> <p>Development of interactive web system (emphasis on Open Source Systems)</p> <p>Administration and development of Content Management Systems (emphasis on Open Source Systems)</p> <p>Robert Szmigielski (M) Film & Broadcast Production (BA), Project Officer, Communications and Member Relations (Expert) joined ICLEI in April 2014 to work on the European Commission's urban mobility project, Eltis. His tasks involve developing communications strategies, writing and planning news content and reviewing and editing European case studies. He is also responsible for the general editorial oversight of the Eltis portal.</p> <p>Before moving to ICLEI, Rob spent nearly four years at the National Housing Federation in England as a Media & Communications Officer. He has also previously worked as journalist for a number of English-language trade newspapers, a local English newspaper and was also the founding associate editor of a London-based sports magazine.</p> <p>Rob speaks English and Polish.</p>
<p>Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:</p> <ul style="list-style-type: none"> - ICLEI was editor for 'Innovative urban transport solutions', which is available from the CIVITAS website here: http://www.civitas.eu/content/innovative-urban-transport-solutions-civitas-makes-difference - ICLEI edited the publication CIVITAS Plus in Numbers: http://www.civitas.eu/content/civitas-plus-numbers-achievements-sustainable-urban-mobility - ICLEI co-authored: Living laboratories: Sustainable urban mobility with CIVITAS: http://www.civitas.eu/content/living-laboratories-10-years-civitas-aalborg-zagreb - ICLEI was author and editor of the Poly-SUMP results brochure: http://www.poly-sump.eu/fileadmin/files/PolySUMP-results-brochure-WWW-Final_01.pdf
<p>Relevant previous projects or activities , connected to the subject of this proposal:</p> <p>ELTIS – European Local Transport Information Service and supporting the uptake of SUMPs (2013-2015), EC funded; facilitates the exchange of information, knowledge and experiences in the field of urban mobility in Europe. It is aimed at individuals working in the field of transport as well as in related disciplines, including urban and regional development, health, energy and environmental sciences. Eltis supports the creation of urban transport systems, which use less energy and produce less emissions, while improving the competitiveness of urban areas and the mobility and quality of life of its citizens. Created more than 10 years ago, Eltis is now Europe's main portal on urban mobility. The SUMP portal www.mobilityplans.eu supports local authorities across Europe in developing Sustainable Urban Mobility Plans. It will be integrated into the Eltis portal during this contract. http://www.eltis.org/</p> <p>CIVITAS Capital (2013-2016), EC funded; The strategic goals of CIVITAS CAPITAL are: 1. To consolidate existing knowledge and lessons learnt and to provide recommendations for successful continuation of CIVITAS. 2. To create a dynamic knowledge centre as a means of structured dialogue and exchange among CIVITAS stakeholders. 3. To facilitate a structured transfer of CIVITAS measures based on practical experiences. 4. To establish five new and manage the existing five national/regional CIVITAS networks serving as delivery channels and activation mechanism of stakeholders. www.civitas.eu</p> <p>European Mobility Week (annually), EC funded (2012-2017); the overall aim of the European Mobility Week is to raise public awareness on the negative impact of carbon-fuelled traffic in cities, and at the same time promote the advantages of a multimodal lifestyle. www.mobilityweek.eu Organised with the support of the European Commission, the aim of EUROPEANMOBILITYWEEK, which runs from 16-22 September every year, is to encourage European local authorities to introduce and</p>

promote sustainable transport measures, and to invite citizens to try out alternatives to the private car. Since its introduction in 2002, the impact of EMW has been steadily growing, both across Europe and around the world. In 2014, a total of 2013 cities from 44 countries officially registered for the campaign. In 2015, the EUROPEANMOBILITYWEEK and DOTHERIGHTMIX campaigns are coming together to engage a wider array of stakeholders, develop more impressive and inclusive resources, and to make it easier for cities and local residents to access useful materials for building a better mobility future.

ENDURANCE – EU-wide establishment of enduring national and European support networks for sustainable urban mobility, EC funded (2013-2016)

ENDURANCE has built 25 national networks and an overarching European network organisation. The ENDURANCE consortium contains EPOMM and its national networks on mobility management in 20 European countries. The main target groups of ENDURANCE are urban mobility professionals, cities and national authorities. The main benefits provided are efficient and enduring support structures for the development of SUMP. Planned SUMP support structures are: Training, a workshop and policy exchange programme; dissemination to a wide number of subscribers; a city toolkit with a city modal split database; an online transport project evaluation system, trainer and auditor databases. The support structures will be assembled and function in a combined top-down and bottom-up approach to take into account local resources. All this is offered in an EU-wide setting, as ENDURANCE includes all countries of the EU and Norway. This is supported by an interdisciplinary team that includes three European City Networks.

Study on European Urban Transport Roadmap 2030, EC funded (2013-2015);

Provides effective and user friendly policy support tools and related documents that will assist a large number and wide range of city authorities throughout Europe to identify and implement the most effective policies to achieve European urban transport policy goals.

A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work:

ICLEI has all the infrastructure and technical expertise in place to conduct stakeholder communication and dissemination activities. ICLEI also has the expertise and technical environment to develop the project's website with an easy to use and universally accessible open source content management system. ICLEI will host the website on its own, self-managed and dedicated server systems. All necessary security systems (firewalls, up-to-date system versions, back-up systems, etc.) will be put in place to provide the level of security, which is needed for a project of this scope.

No. 2	Polis, Promotion of Operational Links with Integrated Services	BELGIUM
		Polis

Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:



Polis has been a European network for dialogue and cooperation on innovative urban transport issues between cities and regions since 1989. It currently represents around 65 cities, regions and transport operators from across Europe. Polis's objective is to support European cities and regions to improve the quality of life of their citizens through innovative measures for sustainable urban transport. The Network facilitates access to European initiatives and research programmes for its members, looking into solutions for urban and regional mobility in the fields of health and environment, traffic management and intelligent transport systems, road safety, and social and economic aspects. POLIS events, publications and in-house expertise create opportunities for members to exchange experience and forge partnerships with the industry and the research community, among themselves. These partnerships often lead to the development of innovative solutions. Polis also provides decision makers with strategic information to improve urban and regional transport, and it advocates the development of an adequate

policy framework at the European level to achieve sustainable mobility in cities and regions.

Polis has a longstanding experience in promoting innovative solutions for local transport and has participated in many EU projects and local activities in this field. Polis ensures the dissemination of results in many EU projects, supports cities and regions in implementing innovative solutions through focus groups, seminars and individualised guidance and advice, has managed demonstration work-packages in several research projects and coordinates end-user groups in industry-led projects. Polis also acts as a facilitator between the EU projects and their end-users in cities in publishing guidance and policy notes and organising capacity building activities that aim to support the use of project results by cities and regions.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Karen Vancluysen (F) was appointed as Secretary General of Polis in September 2014. Prior to that, she was the network's Director for Research. She manages and oversees Polis activities, including projects and policy. She represents Polis within ERTRAC and chairs the ERTRAC Urban Mobility Working Group. Karen has been involved in many EU transport projects since 1998 as partner, work package leader and project coordinator. Prior to joining Polis in 2004, she was Policy & Project Officer and then Network Manager at ACCESS-EUROCITIES for a New Mobility Culture from 2002-2004. From 1998-2001 she worked as a project manager at Langzaam Verkeer.

Ivo Cré (M) was appointed as Deputy Director in March 2015, having been a project manager at Polis since May 2006. He assists the Secretary General with policy and project related tasks. Ivo has been involved in a wide range of European transport projects and also coordinates the Polis Working Group on economic and social aspects of transport. Before joining Polis, Ivo was Policy Officer for mobility at EUROCITIES, assistant to a Member of the European Parliament, advisor to the Belgian Minister of Environment, and project leader at Langzaam Verkeer.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

Polis regularly organises capacity building activities and produces topical briefing papers on key urban mobility issues for its member cities and regions. It discusses policy challenges within the framework of its dedicated thematic working groups covering topics in the field of environment & health linked to transport, mobility & traffic efficiency, safety & security, and social & economic aspects. SUMP is a cross-cutting topic that applies across these different pillars.

Relevant previous projects or activities , connected to the subject of this proposal:

- CHALLENGE, STEER capacity building project on SUMP
- Organisation of SUMP award as part of the Do the Right Mix and European Mobility Week campaigns
- Coordinator of PILOT, the first European project on Sustainable Urban Transport Plans
- Partner in former Eltis mobilityplans.eu for SUMP activities and events
- CIVITAS CAPITAL: leading partner for CIVITAS

No. 3	Union of the Baltic Cities Sustainable Cities Commission/City of Turku	Finland
		UBC
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		



The Union of the Baltic Cities (UBC) is a city network consisting of around 100 cities from the 10 Baltic Sea Region countries. The purpose of the Union is to contribute to balanced democratic, social, economic and environmental development in the Baltic Sea Region. UBC Sustainable Cities Commission is one of the Union's seven thematic commissions and is responsible for UBC's work on environmental issues and urban sustainability and deals with topics like sustainable urban mobility, urban planning, water management, sustainable port and maritime policies, climate change, and energy issues. UBC Sustainable Cities Commission has acquired a good reputation on communication actions and capacity building over 15 years.

In the SUMP-UP project, UBC is willing to take the lead and coordination role on WP 4 "Learning in community", as well as to contribute to WP 8 "Communication and dissemination".

In recent years, UBC has successfully coordinated local and Europe wide capacity building activities as well as dissemination and communication activities in several European projects, and has cooperated with a variety of European organisations and cities working in the field of sustainable mobility. UBC has broad experience in facilitating exchange and learning between European cities.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Björn Grönholm (M) is head of the Secretariat for the UBC Sustainable Cities Commission. He has a Master's degree in Political Science and has almost 25 years of experience in planning, co-ordination and leading several international and EU co-operation projects. Björn Grönholm has experience in fitting together research, capacity building and dissemination activities. His research activities include doctoral studies in Political Science and Public Administration in Åbo Akademi University, Turku, Finland and development projects within both the public and private sector. In his earlier scientific work, he produced more than 15 articles on environmental policy and sustainable development with a specific emphasis on diffusion patterns for innovations in the Baltic Sea Region.

Esther Kreutz (F) has worked in different positions at UBC since 2007 and is currently the project coordinator for the dissemination activities in the CH4ALLENGE project. She also works on UBC SCC's communication activities. She holds a Master's degree in Environmental Sciences with a focus on environmental policy & law and sustainability communications. Ms Kreutz has coordinated several projects on climate change, local sustainability management and sustainable mobility. A special focus has always been on capacity building, trainings and facilitation as well as stakeholder involvement.

In addition to the project management tasks, Ms Kreutz has been the Network Manager (2011-2013) for UBC SCC, working with internal and external communications.

Esther Kreutz has been involved in CIVITAS DYN@MO dissemination since 2014, especially in dissemination workshops and social media trainings.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

- **Coordination of CIVITAS DYN@MO project dissemination (2012-2016)**
UBC coordinates the dissemination and learning activities in the CIVITAS DYN@MO project including local and European wide dissemination and networking, learning and competence building activities, and production of dissemination tools.
- **Coordination of CH4ALLENGE project dissemination (2013-2016)**
UBC coordinates the CH4ALLENGE project Europe wide communication and dissemination activities including external communication and networking, and the development of the project communication strategy and communication tools.
- **Participation in EltisPlus consortium (2010-2013)**
UBC participated in the EltisPlus consortium and was responsible for developing and promoting the Eltis portal on Urban Mobility and the concept of SUMP, especially in the Baltic Sea Region. UBC acted as a facilitator on initiating discussions on implementation of Sustainable Urban Mobility Plans

in Finland.

- **Coordination of involvement and exchange between QUEST project cities (2011-2013)**
UBC coordinated the involvement of 50 cities in the QUEST project and the exchange and learning between cities in the project through workshops and networking.
- **“Moving Sustainably - a guide to Sustainable Urban Transport Plans” in eight BSR languages. (2007)**
A practical guide for cities to prepare and implement Sustainable Urban Transport plans

Relevant previous projects or activities , connected to the subject of this proposal:

- **CIVITAS DYN@MO (2012-2014)**
CIVITAS demonstration project aiming to develop Mobility 2.0 systems and services by applying new web-based technologies; implement innovative electric mobility solutions using electric and hybrid vehicles and engage in a dynamic citizen dialogue for mobility planning and service improvement.
- **CHALLENGE (2013-2016)**
CHALLENGE addresses the four most pressing challenges in SUMP development and implementation and develops innovative and transferable solutions in the areas of participation, cooperation, effective measures and monitoring and evaluation.
- **QUEST (2011-2013)**
QUEST developed a Quality Management tool to help small and medium-sized cities to set-up and further develop their sustainable mobility policies and actions with the assistance of an external expert – the QUEST auditor.
- **EltisPlus (2010-2013)**
The EltisPlus project promoted and enhanced sustainable urban mobility across Europe. EltisPlus has a twofold objective: to maintain, improve and enhance the image, awareness, use and usefulness of the ELTIS portal and to gain further awareness and acceptance of the concept of Sustainable Urban Mobility Plans (SUMPs).
- **BUSTRIP (2005-2007)**
The BUSTRIP project provided guidelines, practical solutions and tools for European cities and municipalities to make Sustainable Urban Transport Plans to reduce congestion, improve the quality of life and decrease the environmental impacts of transport.

No. 4	EUROCITIES ASBL	BE
		EUR
<p>Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:</p> <div><p>EUROCITIES is a network of major European cities. Founded in 1986, the network brings together the local governments of more than 130 large cities in 37 European countries. EUROCITIES represents the interests of its members and engages in dialogue with the European institutions across diverse policy areas affecting cities. Through a wide range of Forums, Working Groups, projects and events, EUROCITIES provides a platform for promoting the urban agenda in European policy-making and for sharing knowledge and exchanging on innovative solutions among its member cities. EUROCITIES works across a wide range of urban policy areas: these include sustainable mobility, road safety, intelligent transport systems, energy efficiency, environment, climate change, air quality, social affairs, green</p></div>		

economic development and cohesion policy, culture and the knowledge society. EUROCIITIES has a rich experience of working with European institutions: the European Commission, both at political and technical level, as well as with the European Parliament, the Committee of the Regions and EU member states, to ensure that climate, recovery, inclusion at the local level are effectively addressed.

The EUROCIITIES Mobility Forum and its working groups work on sharing best practice and developing positions linked to EU policy, for example the White Paper on Transport and the now the Urban Mobility Package. Sustainable urban transport is one of the main challenges to be addressed by European cities, especially in the context of an increasing volume of road traffic in urban areas. Our Mobility Forum aims to raise awareness of the contributions being made and challenges met at local level. Its members are committed to promoting more sustainable and integrated urban transport systems, better demand management tools, providing citizens with convenient and accessible public transport, and protecting the safety of pedestrians and cyclists.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Nathalie Guri (F), Project Manager is the EUROCIITIES Projects Manager and leads the organisation's projects team (10 members of staff in total in the projects team). She works on a wide selection of policies, including Climate, Energy, Mobility and Environment. Nathalie Guri is responsible for overseeing project delivery, quality control, for project development and for membership services related to projects. Nathalie has over 10 years of experience in implementing and coordinating EC-funded projects at local, national and European level. She has a very rich experience of developing and implementing EU-wide projects focused on urban issues. Nathalie is also very experienced in developing information, awareness- raising and networking projects at EU level. Nathalie has worked for Cites Unies France (French local authorities association), for Greater London Enterprise in the UK, and in the Czech Republic and works now for EUROCIITIES in Belgium. Nathalie holds a Master's degree in European Projects Management (Paris). Nathalie is fluent in French (mother tongue), English, Czech and Albanian.

Peter Staelens (M), Project coordinator has 15 years of experience in managing regional, national and European projects and campaigns. He combines expertise in the field of media, communications and marketing with an extensive knowledge of sustainable urban transport policies and measures. In addition to having managed the EU level coordination of European Mobility Week since 2008, Peter is also task leader for the implementation of DG MOVE's Sustainable Urban Mobility Campaign EUROPEANMOBILITYWEEK/ DO THE RIGHT MIX. He was previously also involved in CIVITAS support actions and worked on other relevant projects dealing with mobility management, advanced public transport systems, urban transport innovation and auditing and certification of sustainable urban mobility plans, such as NICHE+, TIDE, EPOMM and OPTICITIES.

Vanessa Holve (F), Policy advisor coordinates the mobility policy work of the EUROCIITIES network since 2009, focusing on SUMPs, smart, integrated and inclusive urban mobility and related issues and policies. She also facilitates dialogue amongst cities, including elected local representatives, and with EU policy makers on best practices and remaining needs for improvement. This includes organising events and producing communication material regularly.

Anja Katalin De Cunto (F), Project Assistant holds a Master's degree in Contemporary European Studies with a specialisation on Europeanisation of environment and energy policies. After completing an internship in the EUROCIITIES Environment Forum, since October 2013 she is assisting the project team with the management and content development of projects and campaigns related to sustainable mobility (CIVITAS VANGUARD, European Mobility Week, Do the Right Mix, OPTICITIES) and energy efficiency (CASCADE and NiCE). Anja is also responsible for informing and supporting EUROCIITIES members regarding EU funding programmes and opportunities, and supports in the development of EUROCIITIES project proposals.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

- European Mobility Management Monitors 2010 – Measures of MM

European Mobility Management Monitor 2011 – Funding and Financing

European Mobility Management Monitor 2012 – Progress of past years

(available on EPOMM website <http://epomm.eu/index.php?id=2687>)

- Mobility Management: the smart way to sustainable mobility in European countries, regions and cities, EPOMM (available on EPOMM website <http://epomm.eu/index.php?id=2687>)
- The NICHES+ Guidelines for Implementers (available [here](#))
- NICHE + Study Tour catalogue (available [here](#))
- NICHE + Innovative urban transport concepts - moving from theory to practice (available [here](#))
- CITYkeys project survey on overview of the needs of the cities and the needs of citizens & stakeholders for: smart cities and smart city projects performance measurement, measurement and evaluation tools, data collection and use of open data. (available [here](#))
- CASCADE peer-to- peer learning toolkit on local energy leadership and best practices (available [here](#)).

Relevant previous projects or activities , connected to the subject of this proposal:

- [CIVITAS VANGUARD](#) (Advancing Sustainable Urban Transport in an Enlarged Europe through CIVITAS) coordinates assistance to CIVITAS-Plus demonstration projects and disseminates the results of these activities through a communication campaign at the European level. EUROCIITIES was in charge of the organisation of study visits together with host cities, of the development of the study tour catalogue for CIVITAS cities, and coordinated VANGUARD publications by chairing the Editorial Board. EUROCIITIES supported the consortium in organising and delivering training sessions, helped in the preparation of the CIVITAS Forum, and was in charge of some dissemination tasks.
- [OPTICITIES](#) (Optimise Citizen Mobility and Freight Management in Urban Environments) aims to help European cities tackle complex urban mobility challenges through focusing on the optimisation of transport networks, experimentation of innovative intelligent transport system (ITS) services and strong public/private partnerships. EUROCIITIES is work package leader for dissemination and is thus in charge of written communication (newsletter), publications, social media channels, presentation of the project to events, networking activities and organisation of a stakeholders' platform. EUROCIITIES is also leading on replication activities which will be organised at a later stage in the project and will include tutorial sessions, study visits and a transferability handbook.
- [TIDE](#) aims to enhance the broad transfer and take-up of 15 innovative urban transport and mobility concepts throughout Europe and to make a visible contribution to establish them as mainstream measures. EUROCIITIES is supporting the work package on dissemination by working on TIDE WIKI and the Blog, and providing articles. EUROCIITIES is also supporting preparation of publications, and monitoring online media and networking activities.
- [ENDURANCE](#) aims to assist cities and regions with developing Sustainable Urban Mobility Plans (SUMP) by facilitating networking, mutual learning and sharing of experience and best practice across countries. EUROCIITIES is leading on the advocacy work task as well as on activities to link with other European networks dealing with sustainable mobility issues. Thanks to its experience gained within the EPOMM-PLUS project, EUROCIITIES gives some guidance for ENDURANCE transfer activities; finally, as a network of cities, EUROCIITIES is able to provide cities' views and experiences on the topic of Sustainable Urban Mobility plans.
- [EUROPEANMOBILITYWEEK](#)
EUROCIITIES is leading a consortium of five partners that manage the European wide campaign on the promotion of sustainable urban mobility, financed by DG MOVE.

A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work:

- EUROCIITIES mailing lists

<p>Contact officers (one main contact per member city, usually the person who is responsible for European and international relations) – ca. 180 contact officers among European cities</p> <ul style="list-style-type: none"> - EUROCITIES Mobility Forum (list of members here) - EUROCITIES electronic tools website and intranet: 41,048 public visitors and 7,500 members visited the EUROCITIES website in May 2015 - EUROCITIES newsletters: <ul style="list-style-type: none"> • Flash (monthly general newsletter sent to 3107 contacts – August 2015) • EUROCITIES Urban Voice: newsletter sent to external contacts • EUROCITIES Mobility Express: newsletter sent to mobility experts • EUROCITIES twitter: 7805 followers (August 2015)
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No. 5	Rupprecht Consult – Forschung und Beratung GmbH	GERMANY
		RUPPRECHT

Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:

RUPPRECHT CONSULT

Forschung & Beratung GmbH

Rupprecht Consult is an independent, private research and consulting company based in Cologne, Germany, and specialised in urban mobility innovation. The company employs 16 internationally-experienced experts in sustainability in the fields of urban and transport development, environment and innovations to society. Services include the development and management of international projects as well as evaluation and impact assessment, dissemination, capacity building, strategy development, and independent project monitoring. Focus areas are sustainable urban transport mobility planning and integrated, multi-disciplinary mobility policy development.

Recent work includes activities in various European programmes in the areas of promotion of clean mobility, development and transfer of innovative urban transport concepts, and training and awareness-raising on Sustainable Urban Mobility Plans throughout Europe. Rupprecht has (co-)managed four demonstration projects and four support projects in the CIVITAS Initiative. The company's portfolio of sustainable urban mobility projects also extends to the transnational context of several INTERREG programme areas and various other European programmes, including Intelligent Energy Europe. These projects are widely recognised for their innovativeness and involvement of forward-looking cities and regions as well as industry and research partners. Rupprecht has successfully taken on roles of project manager, technical coordinator, evaluation/ dissemination manager, in other cases, monitoring contractor for various DG's of the EC.

In SUMP-Up, Rupprecht is responsible for providing authorities with mobility planning process support (WP 2) and is key support partner in measure support (WP 3), learning and capacity building activities (WP 4) as well as project management (WP 9). Of particular relevance for the SUMP-Up project is Rupprecht's substantial experience and expertise gained in a great variety of SUMP projects over the last ten years. The company has become a key knowledge resource on SUMP in Europe. Under the ELTISplus project, Rupprecht has managed the development of the European Guidelines for Sustainable Urban Mobility Plans (as presented in the EC's Urban Mobility Package) and organised awareness-raising and training events across Europe to enhance the take-up of SUMP among European cities. Also previous reference projects on SUMP (PILOT, SUTP Expert Group) were managed by Rupprecht. Furthermore, Rupprecht is coordinator of CH4ALLENGE, is responsible for SUMP training in ENDURANCE and leads the SUMP Advisory Group in CIVITAS CAPITAL.

Being SUMP-Up work package leader for SUMP planning process support (WP 2), Rupprecht will bring in the valuable knowledge gained in the IEE-project CH4ALLENGE and its expertise in implementing local SUMP pilot schemes. CH4ALLENGE has the goal to kick off and enhance SUMP planning processes and to improve existing SUMPs. The project has also prepared the ground for key SUMP activities that will be taken up in SUMP-Up such as the SUMP Self-Assessment Scheme.

In SUMP-Up, Rupprecht will also lead the “Urban Learning Alliances” (WP 4). The company is well experienced in organising training and learning activities, due to its involvement in projects such as CH4ALLENGE, SOLUTIONS and TIDE. The TIDE project aim was to systematically transfer innovative transport measures across Europe and, as such, carried out an extensive range of learning and exchange activities. Rupprecht was the WP leader responsible for these activities. In SOLUTIONS, Rupprecht is the cluster leader for SUMP and has successfully provided SUMP online learning and webinars for an international audience. Rupprecht hosts an online “mobility academy”.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Siegfried Rupprecht (M), Executive Director

Education: Social scientist (Universities of Bielefeld, Bamberg and Oxford)

Siegfried Rupprecht is a social scientist (Universities of Bielefeld, Bamberg and Oxford). His main area of interest is sustainable urban development and he has worked in the area for 25 years, mostly in European RTD co-operation projects in the areas of mobility, planning and environment. He has successfully managed large research and demonstration projects in transport and energy while being the head of the European Office of the City of Cologne. He has worked in software development and was a lecturer for town planning (Cologne Polytechnic and University of Bielefeld). Siegfried is the owner of Rupprecht Consult where he has worked during the last 19 years as project developer, project manager, moderator and adviser, cooperating intensively with policy makers, industry, NGOs and researchers worldwide. He has been strongly involved in the development of the concept for Sustainable Urban Mobility Plans (since 2005), the CIVITAS Initiative (since its beginning in 2001 through four demonstration and four support projects) as well as other EU-policy development processes, e.g. LINK guidelines on intermodal transport (2010), TRANSFORuM Roadmaps for the EU Transport White Paper (2014). Siegfried is a SUMP pioneer of the first hour and a highly recognised stakeholder at European level. He will provide strategic advice to SUMP-Up on EU mobility policy, be mainly involved in SUMP framework activities such as the European SUMP Working Group and guide the project on SUMP innovations and cooperation issues.

Dr. Susanne Böhler-Baedeker (F), Senior Consultant

Education: PhD in engineering, Diploma in Planning Sciences at Technical University of Dortmund, Faculty for Spatial Planning

Profile: Susanne Böhler-Baedeker is a planner, specialised in urban mobility planning. After receiving her diploma Susanne joined the Wuppertal Institute (WI) for Climate Environment and Energy. In her latest position at the WI she was the co-director of the research unit “Energy, transport and climate policy”. She was responsible for the coordination and management of transport research related projects and was involved in several national and international projects about sustainable and low carbon transportation on different political levels. Susanne has a wide range of experiences with policy development as well as analyses and evaluation of transport policies and measures. For her thesis she analysed the importance and acceptance of different mobility services on the local level for individual mobility. Being a Rupprecht staff member since 2013 Susanne is coordinating the SUMP activities of the company. She currently coordinates the EU funded project CH4ALLENGE which concentrates on policies to improve transport planning processes in European cities. In addition, she is co-leader of SOLUTIONS which focuses on international networking for low-carbon transport and capacity building of local stakeholders. She is also involved in CIVITAS CAPITAL as coordinator of the German speaking CIVINET secretariat supporting transport experts from Austria, Switzerland and Germany.

In SUMP-Up, Susanne will be responsible for WP 2 “Planning process support”, share her valuable knowledge on methodical approaches, for instance for the large-scale city survey, and lead on planning tools and methods in spatial and transport planning. She will also be involved in teaching and learning activities of the Urban Learning Alliances.

Miriam Lindenau (F), Junior Consultant

Education: BSc Geography (University of Marburg), MSc Urban Regeneration and Management (University of Liverpool)

Profile: Miriam Lindenau is a geographer with a BSc from Philipps-University Marburg, Germany, with a focus on urban and regional planning. She also has an MSc Urban Regeneration and Management from the University of Liverpool, UK. In her postgraduate studies she dealt with urban renewal and transformation with a special emphasis on urban mobility. She has worked for the Institute of Regional Science and Institute of Urban & Regional Planning at the Karlsruhe Institute of Technology and for ESRI Deutschland GmbH. At Rupprecht, Miriam is involved in projects related to sustainable urban mobility planning. She has been involved in developing the SUMP Guidelines and has special expertise in participatory and collaborative mobility planning. Together with Susanne, she coordinates CH4LLENGE and takes care of the implementation of SUMP pilot schemes, face-to-face and online learning courses on SUMP and project management. In the ERA-NET project SHAPE-IT she has led the thematic area ‘urban mobility planning’ and analysed factors that influence the effectiveness of transport planning and SUMP policy integration. Furthermore, Miriam has expertise in the field of electric mobility and has developed an integrated e-mobility strategy and action plan for the Hanseatic City of Rostock, Germany, which was successfully adopted in early 2015.

In SUMP-Up, Miriam will be mainly involved WP 2 activities including developing the SUMP Tool Inventory, updating the SUMP Guidelines and supporting the implementation of SUMP Innovations. She will also be responsible for the management of the Urban Learning Alliances and related SUMP learning activities.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

SUMP Guidelines (2014)

The SUMP Guidelines, developed in ELTISplus, introduce the concept and the benefits of Sustainable Urban Mobility Plans as a new planning concept able to address transport-related challenges and problems of urban areas in a more sustainable and integrative way. The SUMP Guidelines include good practice examples, tools and references to help urban transport and mobility practitioners prepare and implement SUMPs. Through the EC's Urban Mobility Package (2013), the SUMP Guidelines were promoted as the key relevant guidance document for SUMP development in the EU and have therefore been widely recognised. Within the framework of CH4LLENGE, the SUMP Guidelines are currently being converted into a dynamic online product, integrated into the Eltis platform. SUMP-Up will conduct a comprehensive update of the content of the guidelines and incorporate its own findings as well as those of other relevant SUMP projects into the online version of this key reference document.

SUMP Self-Assessment Scheme (2015)

Rupprecht has developed an assessment scheme (with the approval of the EC/ DG MOVE) which allows cities to assess the compliance of their Sustainable Urban Mobility Plans with EU requirements. The SUMP Self-Assessment Scheme is disseminated in the context of CH4LLENGE and is a free, online tool with a transparent scoring system that enables cities to measure their own progress towards the achievement of a genuine SUMP. It can also be used by European institutions that may wish to use the scheme for verification purposes of a local authority's mobility plan. Following extensive user test, the tool will be published in mid-November for general use.

SUMP-Up will provide a first in-depth analysis of the SUMP status in Europe as soon as the empirical

basis is sufficiently broad (not later than after 12 months of operation), further develop its functionalities (e.g. benchmarking) and support the application of the tool through capacity building and take-up activities

CH4ALLENGE products (2013-2016)

Rupprecht coordinates the CH4ALLENGE project and has been responsible for various project outputs of high relevance to SUMP development. These include:

- **CH4ALLENGE in-depth e-learning courses:** a series of moderated in-depth courses on participation, cooperation, measure selection and monitoring & evaluation in urban mobility planning; courses are targeted at mobility planners and are available on-demand
- **SUMP Glossary:** explanations of more than 120 specialist terms and abbreviations related to 'sustainable urban mobility planning', with a particular focus on the four key challenges (as above); glossary definitions are integrated into the online version of the SUMP Guidelines and the SUMP Self-Assessment
- **SUMP Curriculum:** identifies the knowledge and skills required to develop a SUMP and manage a SUMP process; serves as the basis for the CH4ALLENGE training activities and online learning modules and aims to integrate SUMP more widely into the training curricula of other projects, organisations and institutions

“Urban Mobility Plans – National Approaches and Local Practice” (2014; giz publication developed in cooperation with Institute for Transportation & Development Policy and Rupprecht Consult GmbH) The document reviews approaches for Urban Mobility Plans from various countries and showcases a growing number of examples calling for a shift away from the traditional, infrastructure-oriented approach towards sustainable and people-oriented planning. The paper’s intention is to support local policy-makers and planners in shaping urban mobility planning processes and policies in an effective and inclusive manner.

Relevant previous projects or activities , connected to the subject of this proposal:

CH4ALLENGE (2013-2016)

The overall goal of CH4ALLENGE is to actively facilitate the development of Sustainable European Mobility Plans (SUMPs) in 30 European cities, and to establish a cross-initiative SUMP dialogue about overcoming sustainable urban mobility planning challenges. Rupprecht is the project coordinator and SUMP knowledge expert, assists the cities in developing SUMP strategies and has an advisory role in the CH4ALLENGE pilot schemes. CH4ALLENGE offers a great variety of training activities including training workshops, national seminars, CH4ALLENGE Universities as well as e-learning courses. In the framework of CH4ALLENGE the SUMP Self-Assessment Scheme has been developed which will be used and further developed in SUMPs-Up.

CIVITAS CAPITAL (2013-2016)

CAPITAL is one of the two current CIVITAS Support Action projects. It capitalises systematically on the results of CIVITAS and initiates and supports the mainstreaming process of CIVITAS principles based on a strengthened community of stakeholders. The project creates a structured link with large-scale deployment in support of Transport White Paper goals. Rupprecht is the CAPITAL coordinator and *inter alia* leader of the Advisory Group on SUMP. Results of the Advisory Group will be taken up in several SUMPs-Up activities, such as those on national SUMP frameworks.

CIVITAS DYN@MO (2012-2016)

DYN@MO unites the cities of Aachen, Gdynia, Koprivnica and Palma who are jointly developing “Mobility

2.0" systems and services, implement sustainable solutions and vehicles, and engage in a dynamic citizen dialogue. Rupprecht is the manager of this project where SUMP's are at the core. Activities include the development and improvement of local and regional SUMP's in the partner cities and the establishment of SUMP Competence Centres.

ENDURANCE (2013-2016)


ENDURANCE aims to assist cities and regions with developing SUMP's by facilitating networking, mutual learning and sharing of experience and best practice across countries. Rupprecht is leader of training and networking activities, organiser of the annual European SUMP conferences, and has developed a comprehensive SUMP training programme.

TRANSFORUM (2013-2015)

The mission of TRANSFORuM is to contribute to the transformation process towards a competitive and resource-efficient European transport system by engaging key stakeholder to identify their views about the challenges, barriers, opportunities and potentials in shaping the future European transport system. Rupprecht has coordinated a team of leading universities to develop roadmaps for key actions of the Transport White Paper, including the goals related to urban mobility.

ELTISplus (2010-2013)

ELTISplus activities involved the operation and support for the ELTIS portal and provide guidance, good practice studies and training materials for urban mobility professionals all over Europe. Rupprecht has coordinated the work on SUMP within the project and has authored its two most important outputs: the SUMP Guidelines and the State-of-the-Art Report of Sustainable Urban Mobility Plans in Europe.

No. 6	Trivector Traffic AB	SWEDEN
		Triv
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		
<div><div></div><div><p>Trivector Traffic is an R&D and consultancy company. The company was founded by researchers from Lund University, and has always maintained a close connection to research. It is our aim to contribute to an efficient, safe and sustainable transport system. There is a scientific approach in all of our assignments, and our speciality is to use this approach to develop solutions, tools, guidelines, and support for transport planners and other stakeholders in the field.</p><p>We work with public administrations at local, regional and national levels, and our research projects are generally funded by large funding bodies such as Vinnova (The Swedish Agency for Innovation Systems), the Swedish Transport Administration, and the European Union.</p><p>Our work covers many areas of transport, primarily:</p><ul style="list-style-type: none">• traffic planning and strategies;• traffic analysis & GIS;• Intelligent Transport Systems;• sustainable transport & the environment;• sustainable transport management for companies;• public transport;• traffic safety; and</div></div>		

- mobility management

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Pernilla Hyllenius (F), MSc (Civil Engineering), Lund University, 1995, consultant in mobility management, traffic planning and traffic safety, working with public and private companies. Expert fields are mobility management and traffic safety plans, evaluation of different kinds of traffic and transport measures and the environmental effects of these measures. Responsible for Lund's part in the EU project MOST. Pernilla has experience of working in a variety of projects such as travel surveys, estimating the environmental effects of measures on transport systems and other investigations, and the implementation of SUMO, a Swedish version of MOST-MET. Responsible and/or leading role in training courses in SUMO, mobility management, and ISO 14000 for companies. Working with Trivector since 1995.

Caroline Mattsson (F), MSc in environmental engineering and design, Luleå University, 2006, consultant with several years of experience of national and international projects in the field of sustainable transport and mobility management. Participation in EU-projects: MAX (mobility management strategies), SEEMORE (sustainable mobility in tourist regions). Caroline has experience in working with SUMP in several cities in Spain as a consultant for four years. Among the smaller cities were Irún, Jaén, Valle de Bztán and Quart de Poblet. She is a project leader in national projects dealing with mobility management, including assessing municipalities, evaluation of MM-projects and integrating MM into land use planning. She is a course leader in mobility management and in MaxSumo.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

Many of the projects mentioned below have led to widely used publications and products. These include:

- SUMO and MaxSumo tool for evaluation of mobility projects
- MaxQ-tool for quality assessment of a mobility organisation
- MaxLupo and a Swedish adaptation for integration of MM in land use planning
- KolTrast, a handbook on public transport planning developed from the results of PROCEED
- Shift, a scheme to assess, improve and promote sustainable planning in a municipality
- ISEMOA accessibility scheme to audit the accessibility in micro, meso and macro level
- Co-author of the planning handbooks of TRAST (sustainable traffic strategies) and GCM (walking, cycling and mopeds)

Relevant previous projects or activities , connected to the subject of this proposal:

Examples of Public Transport projects

Poly-Sump (2012-14)

Funded by the EU's IEE programme, Polycentric Sustainable Urban Mobility Plans (Poly-SUMP) aims to develop a sustainable mobility planning methodology in polycentric regions – regions with several centres, where services and goods, and therefore transport needs, are scattered in different towns.

Ecomobility Shift (2010-13)

This EU IEE funded project developed a method to assess, improve and promote the environmental sustainability of local governments' transport and land-use planning policies. The scheme in an adapted form has been applied to a number of local authorities in Sweden.

Lund Transport Strategy – LundaMaTs I, II and III (1997 to date)

Trivector has been involved in the preparation (and thereafter evaluation) of LundaMaTs since its inception in 1997. Through its several far-sighted decisions in sustainability, smart financing and skilful execution, LundaMaTs has since become a model for how to work with these issues in cities and is a known brand for urban planners throughout Sweden and internationally, due to its exposure in various

EU projects.

Trivector has also been involved in the design of other transport strategies, often with a sustainability focus in several Swedish cities, including Linköping, Gävle, Eskilstuna and Västervik. Recently, we monitored and evaluated the effects of some of the most successful strategies in Sweden.

Rail strategy 2037 (Tågstrategi 2037)

The Rail strategy 2037 is a document clarifying the long term development of railway traffic in Skåne, southern Sweden. The strategy plays an important role in infrastructure and traffic planning throughout the region.

PROCEED

PROCEED (Principles of successful high quality public transport operation and development) was an EU project within the area of public transport planning. The project delivered a planning tool to help plan successful public transport systems in small and medium-sized European cities. If you would like to learn more, visit the PROCEED website.

Jönköping City Bus

Trivector Traffic has been the main consultancy for the City bus project in Jönköping, Sweden since 1990. On the 10th of June, 1996 there was quite a revolution in the bus system in Jönköping: the citizens got a brand new bus network based on two main routes (the "City buses"), a new type of vehicle (low floor articulated buses), a real time information system, new "links" that shortened the distance between terminals, and new bus stops with modern equipment.

We have hundreds of more recent references in PT as it is one of our major areas of work, but very few are translated from Swedish.

Examples of Non-motorised modes projects

PASTA – Physical Activity through Sustainable Transport Approaches (2013-17)

This four year European research project, co-funded under the Seventh Framework Program of the European Commission, focuses on the systematic promotion and facilitation of active mobility (i.e. walking and cycling, including the combination with public transport use) as an innovative approach to increase physical activity in daily life. A longitudinal study will be conducted on a total sample of 14,000 adults from seven European cities, Örebro (in Sweden) being one of them. The project will also develop a comprehensive tool to calculate cost/benefit-ratios for investments in supportive infrastructure for active mobility. In addition, a compendium of good practices that can support practitioners and policy makers in their work to promote active mobility will be produced.

Trivector Traffic is the sole representative of the private sector in the project. You can read more on the PASTA website.

BYPAD+

The European projects BYPAD and BYPAD+ created a tool for municipalities to audit their bicycle policies and infrastructure, then improve them. Trivector was a partner in BYPAD+, where the tool was tested in 30 cities. Trivector have made more than 10 Bypad-audits in Swedish cities over the years.

Methods & measurements for monitoring pedestrian and cycle traffic

This Swedish Transport Administration funded project, conducted by VTI, the Swedish National Road and Transport Research Institute, together with Trivector Traffic and Vectura, aimed to create a harmonised method for monitoring pedestrian and cycle traffic, which enables comparisons to be made over years and between towns, regions or the country as a whole. This work is presented in VTI rapport 686 and VTI rapport 743 (written in Swedish with an English summary).

Safe pedestrian environments for older people – Comparison of perceptions of safety and objective safety

Older people are often discouraged from walking due to perceived safety related barriers in the

pedestrian environment. At the same time, objective traffic safety considerations remain an important consideration in planning. For the Swedish Transport Administration, we studied discrepancies between perceived and actual safety barriers and looked at how older peoples' perceptions of safety can be better included – together with objective safety considerations – into planning processes, and how "safer mobility" can act as a guiding principle in planning.

Traffic safety consequences of increased use of pedal-assisted electric bicycles (pedelecs) in Sweden

This project investigating traffic safety aspects related to an increased use of pedelecs in Sweden. This was done in part by finding existing studies on traffic safety and pedelecs, and partly by analysing the user groups of pedelecs, and associated safety risks related to these groups (e.g. older people, people cycling at high speeds, etc). The project included recommendations as to how to manage a safe introduction of increased pedelec use in Sweden. The project was funded by the Swedish National Transport Administration under the Skyltfonden.

We have a lot of references in this topic as well, again most of which are not translated from Swedish. Examples including bicycle strategies in the Skåne Region, development of new models for public bike sharing schemes in Gothenburg, input to walking plan in Stockholm, etc.

Examples of Pricing and access restriction projects

Road pricing in Stockholm (trial)

A trial congestion charging scheme was put in place before the establishment of the permanent scheme in 2007, implemented after a referendum was held. Trivector was involved in designing the overall strategy and plan for the evaluation of the trial congestion charging scheme. We were the leader for implementing a major travel survey (77,000 respondents) in greater Stockholm before and after the implementation of the charge, and contributed to conclusions for the implementation of a permanent charge.

Road pricing in Gothenburg

Trivector were involved in the expert group on road pricing in Gothenburg following the referendum voting against the scheme in 2014.

References in parking including parking strategies and parking and MM (MMMiS network).

Examples of Freight transport projects

SMARTSET

Co-funded by the Intelligent Energy Europe Programme (IEE) of the European Union, SMARTSET is a three year project started in May 2013. It aims to develop and showcase how freight transport in European cities and regions can be made more energy-efficient and sustainable by a better use of freight terminals. To reach this overall goal, the project will provide examples of good practice that can support cities, regions and countries to contribute to the European Union "20-20-20" targets for reduction in carbon dioxide emissions and improvement in energy-efficiency.

LETS 2050 Freight: research for sustainable freight transport (Lets 2050 Gods: Forskning för hållbara godstransporter)

This Swedish research project was financed by Vinnova (2009 – 2012). The project looks at freight and logistics. It studies, for example, the challenges faced by companies in moving towards sustainable goods transport, and which policies and instruments can really make a positive difference in contributing to the sustainability of freight transport.

Course on freight transport in City of Malmö (2014)

Planning and running a tailor-made course for civil servants from different departments in the City of Malmö. This is the first course of its type in Sweden, designed to increase understanding of freight and logistics and how this can be managed within the authority's work in town planning and transport planning.

Waste management in the dense urban city (2014)

A study looking at waste collection in Malmö and neighbouring Burlöv from a wider system perspective (planning, legislation, tendering, collection) with a focus on problems and solutions both now and in the future when the urban areas will become more dense.

Combined goods distribution in local authorities – effects, consequences and societal benefits

A study on the effects of centrally (local authority) managed goods distribution: what are the benefits of this, and/ or possible consequences.

Examples of E-mobility, clean fuels and vehicle projects

“Quick adaptation” of the transport system to a situation of reduced oil supply

The Swedish transport system is highly dependent on oil. It is likely that a radical shift away from oil will be required when prices increase and / or supply is at a sudden low. We need to prepare strategies and plans for how we could quickly adapt our transport system to a different world. This Swedish project, funded by Vinnova, looked at weaknesses, robustness and preparedness in today's transport system, including a study of which measures could give considerable reductions in oil dependence both on the short and long terms. Case studies for the Öresund region and Stockholm region are included in the study.

TransportMistra (2006-08)

TransportMistra was an interdisciplinary Swedish research programme on sustainable transport and developed strategies, models and tools to help improve the long-term sustainability of the transport sector. It was formed around three subprojects – IMPACT, INFORM and INCLUDE.

E-mission in the Öresund region

The long term goal of the project 'E-mission in The Øresund Region' is to influence as many people and organisations as possible in the Øresund Region to replace their petrol or diesel powered cars with electric vehicles. Trivector developed a strategy for stakeholder involvement and location of charging points in the region.

Example of Intermodality project

Landskrona Trolley system

Trivector Traffic has been the main consultancy for the Trolleybus project in Landskrona, Sweden. The trolleybus was opened in September 2003 and is the main connection between the new railway station (opened in 2001) and the city centre. The Trolleybus is a natural connection from electric commuter trains into the city centre, including a great deal of intermodality between different transport modes.

Examples of Mobility Management projects

SEEMORE (2012-15)

Co-funded under the Intelligent-Energy Europe Programme of the European Union, SEEMORE looked at how to encourage more sustainable travel behaviour amongst visitors to 8 European coastal tourist

regions.

MAX

MAX was an FP6 EU project on Mobility Management (MM) and Travel Awareness (TA) in transport.

MOST

MOST ran from 2000 to 2002, and looked at mobility management, i.e. measures which can affect the demands placed on the transportation system through changes in people's attitudes or behaviour.

Trivector was involved, along with the City of Lund, at looking at the mobility centre in Lund.

Mobility plan for Region Skåne (the county council of Skåne with 33000 employees at 9 hospitals)

The mobility plan for Region Skåne has become a real success story. The success is due to a three-pronged approach: the plan, the systematic approach and an innovative way of financing the implementation through a climate compensation model that catalyzes measures and creates more savings than costs. Trivector has been the external facilitator from the beginning in 2011 until now.

Mobility plans in several development areas in Gothenburg

Allowing businesses to expand without increasing traffic is a challenge for many cities today. In Gothenburg, Trivector has helped the city to test a new approach in order to allow an expansion of business areas without an increase in the car traffic to the area. This has resulted in several joint projects between the city and the main stakeholders in development areas, with Trivector as an initial external facilitator.

Examples of Accessibility and social dimension of transport projects

EU-project ISEMOA – an accessibility audit

In the EU-project ISEMOA an audit was developed for improving the work with accessibility of public spaces and public transport in municipalities, cities and regions. The ISEMOA accessibility audit has been tested in 15 countries across Europe. In Sweden, the Swedish Transport Administration Region South applied the audit.

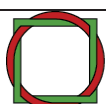
Public transport and human rights (Mänskliga rättigheter och kollektivtrafik)

This project performed analysis of how the “strategy for adapting public transport to people with functional impairments” in the West Sweden Region impacts other travellers. The analysis looked at different minority groups, by: gender & gender identity, ethnicity, faith and religion, functional impairments, sexual orientation, and age. The analysis showed what the synergy effects are in terms of improving the conditions for different groups.

An accessibility index for understanding accessibility in Malmö

This project looked at developing a single measure (and index) to summarise a number of accessibility indicators in Malmö. The application was based on an earlier project for the Swedish Transport Administration entitled “A simple accessibility measure”. The accessibility indicators included in the index focused on both macro and meso level accessibility.

No. 7	Wuppertal Institute for Climate, Environment and Energy	GERMANY
		WUPPERTAL
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		



Wuppertal Institute
for Climate, Environment
and Energy

Sustainable development requires an integrated approach to policy and science because many of the issues it raises cannot be addressed within a single department or using the tools of individual scientific disciplines. This is where the Wuppertal Institute's research programme begins - by taking an interdisciplinary approach and working towards systems understanding. Applied sustainability research is the Wuppertal Institute's stated mission. The Wuppertal Institute collaborates with a multitude of universities and institutes around the world. A scientific International Advisory Board supports the Institute in defining fundamental research strategies as well as ensuring the quality and independence of its research. The Wuppertal Institute has longstanding experience with a multitude of national, European and international projects on sustainable transport. It currently leads an international project (SOLUTIONS) on sustainable mobility around the world funded under the 7th framework programme. The Wuppertal Institute has a long record of experience with ex-ante and the ex-post evaluation of transport, energy and climate policies – as well as the design and evaluation of carbon reduction and energy efficiency strategies, programmes and services carried out by companies, public policy and other actors, in projects such as FLOW and EMPOWER (H2020), TIDE (FP7), EVIDENCE (IEE), and SHAPE-IT (ERA-NET). WI also worked on several projects at the national and local level in Germany that assessed the potential of sustainable transport policies.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Oliver Lah (M) is a project coordinator at the Wuppertal Institute and focuses on climate change mitigation policy analysis and sustainable urban mobility. Oliver currently coordinates several projects, such as SOLUTIONS (<http://www.urban-mobility-solutions.eu/>), and SUSTAIN EU-ASEAN (<http://www.sustain-eu-asean.eu/>). Oliver is actively involved in several other projects, including TIDE (<http://www.tide-innovation.eu/en/>), EVIDENCE (<http://evidence-project.eu/>) and the Horizon 2020 project FLOW and EMPOWER. Oliver worked with international organisations, such as the OECD/ITF, UN-Habitat and GIZ on urban mobility issues. He is a Lead Author for the Fifth IPCC Assessment Report where he focused on costs and potentials, co-benefits and linkages between mitigation and adaptation actions in the transport sector. Prior to that Oliver worked for the New Zealand government, the University of Munich and the Minister of State to the German Federal Chancellor. He holds a Bachelor of Arts with Honours in Political Science, and a Master of Environmental Studies from Victoria University of Wellington.

Hanna Hüging (F) works at the Wuppertal Institute for Climate, Environment and Energy since 2011 holding the position of research fellow. Within the research group on energy, transport and climate policy, she works on several international projects focusing on sustainable transport, such as TIDE, EMPOWER and SOLUTIONS. Her research focus is on energy-efficient and low-carbon transport strategies and on analysis and evaluation of policies and programs in the transport sector, in particular regarding impact assessment of policies and measures in urban transport. She holds an MSc in Environmental Science from the University of Cologne and a BA in Geography from the University of Osnabrück.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

- Figueroa, Maria et al. 2014. "Energy for Transport." Annual Review of Environment and Resources 39(1).
- Fulton, Lewis, Oliver Lah, and François Cuenot. 2013. "Transport Pathways for Light Duty Vehicles: Towards a 2 Scenario." Sustainability 5(5): 1863–1874.
- Hüging, Hanna, Kain Glensor, and Oliver Lah. 2014. "Need for a holistic assessment of urban mobility measures—Review of existing methods and design of a simplified approach." Transportation Research Procedia 4: 3–13.
- Lah, Oliver 2014. "The Barriers to Vehicle Fuel Efficiency and Policies to overcome them." European Transport Research Review.
- Lah, Oliver et al. 2015. "Transferability of Sustainable Urban Transport Solutions." CODATU 2015. www.codatu.org/wp-content/uploads/Oliver-Lah_Transferability-1.pdf.

- Sims R., R. Schaeffer, F. Creutzig, X. Cruz-Núñez, M. D'Agosto, D. Dimitriu, M.J. Figueroa Meza, L. Fulton, S. Kobayashi, O. Lah, A. McKinnon, P. Newman, M. Ouyang, J.J. Schauer, D. Sperling, and G. Tiwari, 2014: Transport. In: Climate Change 2014: Mitigation of Climate Change. Contribution of Working Group III to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change [Edenhofer, O., R. Pichs-Madruga, Y. Sokona, E. Farahani, S. Kadner, K. Seyboth, A. Adler, I. Baum, S. Brunner, P. Eickemeier, B. Kriemann, J. Savolainen, S. Schlömer, C. von Stechow, T. Zwickel and J.C. Minx (eds.), Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA.

Relevant previous projects or activities , connected to the subject of this proposal:

- SOLUTIONS: Sharing Opportunities for Low carbon Urban transportatIOn (FP7-Transport, Coordinator) 2013-2016
- TIDE: Transport Innovation Deployment for Europe (FP7- Transport, WP Co-Lead) 2012-2015
- EVIDENCE: EVIDENCE of the Proven Economic Benefits of Sustainable Transport Initiatives to Facilitate Effective Integration in Urban Mobility Plans (IEE, WP Lead) 2014-2017
- SHAPE-IT - Shaping Sustainable Transport Patterns in European Cities Duration (ERA-Net Transport, Coordinator) 2013 - 2014
- FLOW: Furthering Less Congestion by creating Opportunities for more Walking and cycling (H2020, WP-Lead)
- EMPOWER: EMPOWERING a reduction in use of conventionally fuelled vehicles using Positive Policy Measures (H2020, WP-Lead)
- SUSTAIN EU-ASEAN: Sustain and enhance cooperation on sustainable development between Europe and Southeast Asia (FP7-Transport, Coordinator) 2013-2016

No. 8	Centre d'études et d'expertise sur les risques, l'environnement, la mobilité et l'aménagement	FRANCE
		Cerema

Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:



The Cerema, Centre for studies and expertise on risks, environment, mobility and urban and country planning, is a major actor for sustainable territories and cities in France.

Placed under the joint supervision of the Ministry for Ecology, Sustainable Development and Energy and the Ministry for Regional Equality and Housing, Cerema is a resource centre for scientific and technical expertise, in support of the definition, implementation and evaluation of public policies, carried out by national and local authorities.

Cerema aims to support the French Ecological and Energy Transition Strategy. Its services include expertise and engineering services, methodology and evaluation, innovation and research.

Building on its foothold between local, national and European partners, Cerema is meant to be a purveyor of local experiences and concerns towards national and European decision levels, and of regulatory, methodological and experience sharing-based support towards local authorities.

Cerema should therefore be a relevant partner regarding SUMP and a valuable candidate as leader of work package 6 – Improving national resources and governance.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Cerema activities will primarily be managed by **Thomas Durlin (M)**.
As a PhD and senior engineer, he has been involved in several European projects in the field of Intelligent Transportation Systems (Easyway 1 and 2, Arc Atlantique). Working in the Technical Division for Territorial Development and Urban Planning, Thomas Durlin is in charge of the Cerema mobility planning activities involving a large team that covers all French territory.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

Cerema has continuously conducted numerous studies on urban mobility planning and SUMPs for several years. These have lead to a large set of methodological and experience-sharing publications, covering SUMPs deployments (e.g. legal framework) and SUMP-related thematics (road safety, environmental evaluation, etc.).


As an example of recent publications, in English:

- Involving citizens in the SUMP process - Challenges and recent trends in French PDUs, Mobility and transports - Local practices n° 3, Cerema, June 2015.
- 30 years of sustainable urban mobility plans in France, Mobility and transports – Focus on, Cerema, April 2013.
- PDU : the French urban mobility plan - Integrating transport policies, Mobility and transports - Tools and Methods n°1, Cerema, September 2012.
- (see <http://www.certu-catalogue.fr/> and
- <http://www.territoires-ville.cerema.fr/planification-des-deplacements-r203.html> for more details).

Relevant previous projects or activities , connected to the subject of this proposal:

Cerema is involved in several European-level projects and activities in direct relation with SUMPs. Cerema is a member of:

- the ENDURANCE project,
- the CIVITAS Capital Advisory group on SUMPs,
- the sustainable planning for sustainable land-use and transport comity within the European Transport Conference.

No. 9	Fondazione Torino Wireless (TOWL)	ITALY
		TOWL
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		
<div><div><p>torinowireless ICT and Innovation in Piemonte</p></div><div><p>Fondazione Torino Wireless, founded in 2003, is a non-profit organization that was established by Regional and National actors from both the public and private sectors. It aims to enhance Torino as the foremost Italian hi-tech district focused on ICT, to increase the competitiveness of the territory and to support the most promising companies in developing business strategies and research projects. It also aims to boost dialogue among research and innovation, business and finance. TOWL has managed open calls, public invitations and grants, steering funding for pre-competitive R&D projects for more than €125M and involving more than 400 companies and research institutes. TOWL coordinates the ICT Innovation Cluster, which was established by the Piedmont Regional Government in 2009. It represents a group of companies and research organisations focused on ICT.</p></div></div>		

which counts 227 members (among which are 200 SMEs, 13 big companies, 12 universities and research institutes). Within the last five years, TOWL has led the financing of 100 projects, with a value of €30M. Those projects have involved a total of 385 partners, with 70% of participants SMEs.

Since 2012, TOWL is the coordinator of the National Technological Cluster on Smart Communities, aimed at fostering and supporting the development and implementation of innovative models of social integration, to offer solutions to problems of urban and metropolitan scale. TOWL is in charge of bringing together partners from the worlds of both industry and research to carry out R&D projects. In 2012, four projects were approved for funding: Environmentally Sustainable Smart Mobility; Zero Energy Buildings in Smart Urban Districts; The Educating City; and Social Museum and Smart Tourism.

In addition, since 2012 TOWL is a partner of the City of Torino in its drive to become a Smart City by 2020. On behalf of the City of Torino, in 2013 TOWL developed the Master Plan 'Torino Smart City' through a participatory process that actively involved public stakeholders, research centres, large organisations and SMEs in planning the Smart City, taking into account its needs, strengths and opportunities. In particular, as concerns Mobility, seven actions were planned aimed at achieving a greener and more sustainable mobility system, both for passengers and freight deliveries. It involved the development of infrastructure supporting cycling and the development of services and infrastructure for freight and logistics' value chain and systems for optimised use of mobility data.

TOWL continues to support the Municipality in the implementation of its Master Plan. On behalf of the City of La Spezia, since 2014 TOWL coordinates the development of the Master Plan of La Spezia Smart City, also helping the Municipality to implement its plan.

Fondazione Torino Wireless will contribute to the analysis of barriers and challenges in the take-up of SUMP, as well as the planning process, supporting the mentoring programme implementation. It will contribute also to the community learning process and to improve national resources and governance through European and national exchange activities and workshops. It will also input into City level SUMP monitoring and impact evaluation as well as to the communication and outreach activities, e.g. gathering resources for local authorities interested in SUMP development, shaping national legislative frameworks, and promoting project at external events.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Marco Ramella Votta (M) is in charge of the operations of Torino Wireless and of the management of the Italian national cluster on Smart Communities. Through his work he has developed specific competences in business development and business planning, SME evaluation and selection, and innovation projects development. He places a particular focus on facilitating collaboration between enterprises, public bodies and research institutes, Smart Cities, and national and international Clusters development. He graduated from the University of Torino with a degree in Computer Science. He received a Business Planning Degree from The Anderson School of Management (University of California, Los Angeles) and a Master's Degree (ICT for management) from the Politecnico di Torino.

Chiara Ferroni (F) is a senior business analyst at Torino Wireless. She is in charge of all activities to support members of the National Technological Cluster "SmartCommunitiesTech" to develop R&D projects: building partnerships, editing R&D proposals, and evaluating and selecting the best projects in terms of innovation, business return and budgeting. She has a wide knowledge of the ICT industry as she works with small, medium and large high tech enterprises focused on new paradigms such as Internet of Things, Intelligent Transport Systems, Mobile technologies, Cloud Computing, and on technology innovation for Smart Cities and Communities. She graduated from the Politecnico di Torino (Italy) with a degree in Management Engineering and has completed two business administration courses at UCLA, California (USA).


Michele Gennaro (M) is a Technology and Business Analyst at Fondazione Torino Wireless, in charge of activities primarily focused on technological, business and strategic analysis applied in many industries and new market segments such as Energy Efficiency, Smart Mobility and Smart City. He took part in the BIP project, which aimed to develop and implement a contactless and integrated ticketing system for

public transport in the Piedmont Region. He was in charge of monitoring and tracking the technological trends in the Smart Energy industry with a focus on Smart Grids Networks. He was the chief of the Smart Energy Working Group of the SMILE project, which was aimed at developing the Master Plan for Turin Smart City. He holds a Computer Engineering Master's Degree and a postgraduate "Master On Networks And Services Innovation In ICT" from the Politecnico di Torino (Italy).

Barbara PRALIO (F) is a Technology Manager at Fondazione Torino Wireless, where she works on driving business opportunities for local enterprises and supporting SMEs in developing innovative RTD projects. She has a wide competence on the use of innovative technologies in Smart Cities and Communities, working on the development of the National Technological Cluster "SmartCommunitiesTech" and on the strategic planning for the Torino Smart City Master Plan. She was also actively involved in national and international research programmes and co-authored a number of scientific publications in international journals and conference proceedings. She holds a Master's Degree in Aerospace Engineering and a Phd in Production Systems and Industrial Design from the Politecnico di Torino (Italy).

Relevant previous projects or activities , connected to the subject of this proposal:

- **MobiGoIn - Mobility Goes International (COSME):** TOWL is the coordinator of this (recently approved) COSME project, focused on the Smart Mobility industry. MobiGoIn aims at building a European Strategic Cluster Partnership (ESCP) on Mobility, promoting cross-sectorial collaboration among European SMEs and defining a common and operative strategy for an internationalization process.
- **FIWARE (FI-PPP Call 1):** FIWARE provides a public and royalty-free open-source digital architecture and a set of open specifications to allow developers, service providers, enterprises and other organizations to develop innovative products that satisfy their needs. TOWL's role is to strengthen connections between FIWARE and Torino Smart City.
- **OCOVA AlpMedNet (ALCOTRA):** OCOVA AlpMedNet creates a network between three Alps - Mediterranean regions: Hautes-Alpes, Piedmont (represented by TOWL) and Liguria, by organising events regarding Tourism, e-government, environment monitoring, transport and info-mobility.
- **SMILE (Smart Mobility, Inclusion, Life and Health and Energy):** The local Smart City Master Plan for the City of Torino, developed by TOWL in 2013.
- **National Technological Cluster on Smart Communities (SmartCommunitiesTech):** National project funded by the Italian Ministry of Education, University and Research (MIUR). In 2012, TOWL was appointed as its coordinator. The SmartCommunitiesTech is aimed at fostering and supporting the development and implementation of innovative models of social integration, involving among others the municipalities of Roma, Firenze, Genova, Venezia, Torino, Lecce, La Spezia, Cuneo, Vercelli.

No. 10	Ayuntamiento de Donostia / San Sebastián	SPAIN
		ADS
<div><p>Donostiako Udala Ayuntamiento de San Sebastián</p></div> <div><p>Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:</p><p>As a local administration, Donostia /San Sebastian municipality’s main task is to control and manage the usual aspects concerning a city: education, the economy and finance, culture, urban planning, etc., as well as legislation on these issues.</p></div>		

More concretely, the mobility department, which is involved in this project, develops mobility policies and fosters consensus between all citizens. This covers: pedestrian streets, bicycle networks, extension and regularity of public transport lines, new car parks, bus stations, enhancing the network of peripheral roads, etc. Beside this, the mobility department leads on management, maintenance, signage, painting and road safety, as well as the traffic light network. The development of various functions is regulated by the policies established by the local government. The SUMP, published in 2008 with a time span of 16 years (2008-2024), has a particular relevance in shaping these functions. An updated version of the SUMP is currently being developed.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

Iñaki Baro (M) Mechanical Engineer, working in the mobility department of San Sebastian city council as a mobility technician. He has taken part in several European projects addressing mobility within cities and is currently carrying out the measures proposed in the city's SUMP. CIVITAS Archimedes, SmartCEM, SITE or Switch are some examples of European projects where Iñaki together with the mobility team carried out aspects of the city's SUMP.


Fermin Echarte (M) Civil Engineer and Architect, working also in the mobility department of San Sebastian city. He is in charge of the bicycle side of non-motorised modes of the city as well as managing a number of European projects. As a result of these activities, he has vast experience in many areas of urban mobility. Fermin has taken part very actively in CIVITAS-Archimedes, TIDE and Cyclelogistics Ahead, implementing activities either as a measure leader or site manager.


Relevant previous projects or activities , connected to the subject of this proposal:

Donostia / San Sebastián has great experience in transnational exchange projects, having taken part in the following projects (often times as coordinator):

- Snowball. 2006-2008. EACI.
- AENEAS. 2008-2011. IEE-STEER.
- CIVITAS ARCHIMEDES. 2008-2012. FP7
- QUEST. 2011-2013. IEE-STEER.
- TIDE. 2012-2015. FP7
- SITE. 2012-2014. FP7
- SMARTCEM. 2012-2014. CIP
- SWITCH. 2014-2016. IEE-STEER
- CYCLELOGISTICS AHEAD. 2014-2017 IEE-STEER.

Moreover, the City of Donostia /San Sebastián is member of the CIVITAS FORUM and of POLIS, networks of European cities and regions aiming for innovative technologies and policies in mobility terms.

No. 11	City of Malmö / Malmö kommun	SWEDEN
		CoM
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		
<div><p>The City of Malmö is a local government. One of the municipality’s responsibilities is to manage and develop the transport system within the city’s borders to become more environmentally, socially and economically sustainable.</p><p>Malmö stad</p></div>		
Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:		
<p>Peter Håkansson (M) will be the responsible person working in the project on the behalf of CoM. He studied civil engineering at the University of Lund and has worked as a professional traffic planner, project manager and urban mobility strategist for eight years.</p>		
Relevant previous projects or activities , connected to the subject of this proposal:		
<p>Peter Håkansson is the project manager for the development of the CoM’s first traffic and mobility plan, the local SUMP of the city, which will be politically adopted in the autumn of 2015. He has also gained experience from taking part in EU-projects such as ADVANCE 2011-2014, which aimed to develop an audit tool to assess the work of SUMP’s within European cities.</p> <p>Peter Håkansson was a key speaker at the 2nd annual SUMP conference in Bucharest 2015.</p>		

No. 12	BKK BUDAPESTI KÖZLEKEDÉSI KÖZPONT ZARTKÖRŰEN MŰKÖDŐ RESZVENYTARSASÁG	HUNGARY
		BKK
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		
<div><div>BUDAPESTI KÖZLEKEDÉSI KÖZPONT</div></div> <p>BKK Centre for Budapest Transport (BKK) is the integrated urban mobility managing authority in Budapest. The Hungarian capital has a large road network (4500 km) with one third considered a main road network. There are over 1000 intersections with traffic signals as well. The total length of the public transport network is 3300 km with almost 2200 vehicles in operation daily. In Budapest (within the city border) there are 1.57 million car trips per working day, and there are 2.22 million public transport trips daily. The whole agglomeration around Budapest has 800 000 inhabitants and generates 400 000 car trips per weekday in Budapest (which is two-thirds of all trips). Since 2010, BKK Centre for Budapest Transport is located between the local government and transport operators with a Public Service Contract framework in the governance model. BKK is responsible for the development, maintenance and operation of the extended infrastructure in Budapest, which is an especially challenging task. BKK is also responsible for the development and implementation of BMT Balázs Mór-plan, which is Budapest’s first SUMP-based transport development strategy. BMT was adopted in June 2015 by the General Assembly of the Municipality of Budapest. A large number of BMT measures are being implemented, and several other projects are currently being prepared. The main challenges during implementation is to gain the long-term commitment of decision makers, to work within often tight budget constraints, and to integrate different sectoral projects.</p>		
Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:		

László Sándor Kerényi (M) holds an MSc in Civil Engineering (urban transport planning, 1998) and an MBA (absolutorium in 2007) and is a qualified technical supervisor of roads and bridges (2007). He is an expert in urban transport planning. Kerényi has been Head of Strategy at BKK since December 2010, a department that covers tasks and responsibilities that includes strategic planning, preparation of infrastructure projects, and participation in international research and development projects. Before that, he was Head of the Transport Department at the Mayor's Office of Municipality of the City of Budapest (2008-2010), where he was responsible for all transport related issues regarding the Hungarian Capital. He formerly worked at the Directorate for Road Management and Co-ordination, managing and controlling projects on the Hungarian National Road Network, co-financed by EU funds, both on Beneficiary and on Intermediate Body level (2002-2008). For four years, he worked in the field of research, design and education at the Department of Highway and Railway Engineering at Budapest University of Technology and Economics (1998-2002).

Tünde Hajnal (F) holds an M.Sc. in Civil Engineering and an M.Sc. in Urban Planning and Management. After her academic studies she worked as a leading planner for "VÁTI", a Hungarian Public Non-profit Company for Regional Development and Town Planning (Budapest), as a road construction project manager for "UKIG", the Directorate for Road Management and Co-ordination Department for Structural Fund (Budapest), and as an engineer for Aberdeen City Council Scotland. Since 2011 she has been working for BKK Centre for Budapest Transport, as a senior transport strategy officer at the Strategy department. Hajnal is managing the development of the Balázs Mór Plan which is Budapest's first sustainable urban mobility plan. The first version of this strategic document, which was put forward for public consultation, was selected as a finalist for the UITP Public Transport Strategy Awards in Milan (June 2015). Hajnal finds her strengths are her creative side, precision, reliability and her ability to work well within a team. She has experience in coordinating and managing planning projects and transport development plans. Since she worked in the private sector as well as council offices and public companies, she has got a good overview of project realisation and the planning process. Having worked as a lead planner, she is familiar with negotiating with different stakeholders, and is enthusiastic, hardworking, and enjoys challenge.

András László Kőríz (M) holds an MSc in Civil Engineering (2014). Kőríz is an expert in transport modelling and data collection techniques with a strong focus on operational and strategic decision support. He joined BKK in August 2014 as project manager responsible for international research and development projects. During his studies Kőríz actively took part in transport modelling research projects at the Department of Highway and Railway Engineering at Budapest University of Technology and Economics. He is the professional lead associate for the maintenance and operation of the Macroscopic Transport Model for Budapest.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

- **Burghardt, Á., Hajnal, T., Kerényi, L. S., Kőríz, A. L. (2015):** Development of the first sustainable urban mobility plan of Budapest – How was the Balázs Mór Plan developed?
- **Ábel, M., Kerényi, L. S., Mátrai, T. (2015):** How can a transport model be integrated into the strategic transport planning approach – 2015 Models and Technologies for Intelligent Transportation Systems (MT-ITS)
- **Juhász, M., Kerényi, L. S., Mátrai, T. (2013):** Integrated transport management to enhance sustainable transport modes in Budapest – 41st European Transport Conference

Relevant previous projects or activities , connected to the subject of this proposal:


BKK has previous experience related to the SUMPs-UP project:

- **Partner in EU funded H2020 project FLOW:** developing new transport modelling solutions in the field of macroscopic modelling, aiming to better represent the impacts of cycling measures on urban road congestion.

- **Associated partner in EU funded FP7 project SOLUTIONS:** supporting the exchange on innovative and green urban mobility solutions between cities from Europe, Asia, Latin America and the Mediterranean. The project's overall objective is to make a substantial contribution to the uptake of innovative and green urban mobility solutions across the world.
 - **Partner in EU Funded IEE project CH4ALLENGE:** addressing the four most pressing challenges in the development and implementation of Sustainable Urban Mobility Plans. Nine European cities test innovative and transferable solutions in participation, cooperation, measure identification as well as monitoring and evaluation.
 - **Partner in EU funded FP7 project TIDE:** developing tools for innovation transferability analysis, and implementing two innovative measures in the area of public transport management and the use of marketing research tools in public transport.
- **Member of Polis Network** – European cities and regions networking for innovative transport solutions (Vice presidency 2014-2015).
 - **Member of UITP** – L'Union internationale des transports publics. Active participation in the EU Committee of UITP since 2014.
 - **Member of EMTA** – European Metropolitan Transport Authorities
 - **Member of Hungarian CIVINET** – part of CIVITAS initiative of the European Commission

A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work:

Macroscopic Transport Model for the Budapest region representing 4500 km of road network with over 1000 traffic signalled intersections, 3300 km of public transport network with almost 2200 vehicles in operation daily. MTM enables BKK to analyse the social, environmental and economic impacts of specific SUMP measures. With the use of MTM, BKK is able to use several kinds of different data resources in an integrated way.

No. 13	Sofia Urban Mobility Centre	BULGARIA
		SUMC
<p>Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:</p> <div><p>Sofia Urban Mobility Centre EAD is a company entirely owned by the City of Sofia. The main departments of the company are:</p><ul style="list-style-type: none">- Public transport, Marketing and economic activities, Parking and mobility, Development and administrative activities, Control<p>SUMC is responsible for the organisation, management, supervision and finances of the Sofia public transport system as well as for the short term paid parking zones in the city. SUMC operates an automatic vehicle location system for public transport vehicles and the public transport ticketing system. Based on these systems SUMC provides real time e-services for passengers, such as a journey planner, real-time vehicle arrival on all public transport stops, information for accessible vehicles, voice announcements, etc. Among other activities of SUMC are the development of plans and analysis for urban mobility management and implementation, and the operation of intelligent transport systems.</p></div>		
<p>Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:</p> <p>Metodi Avramov (M), Director of Marketing and Economic Activities Directorate:</p>		

Metodi Avramov is the Marketing Director of Sofia's Urban Mobility Centre. He has been involved in all phases of Sofia's public transport automatic fare collection system over the past 10 years, including his position as a project manager for the supply and installation of the system in trams and trolleybuses (2006-2011). Metodi is currently responsible for the development and implementation of urban mobility projects and programmes for Sofia Municipality and Sofia Urban Mobility Centre. These projects are related to economic, social and environmental aspects of public transport and mobility. He has experience with projects financed through European programmes or International Financial Institutions (European Bank for Reconstruction and Development). Metodi has an Industrial Management Master's degree from the Technical University of Sofia.

Gergana Ugrinska (F), Expert International Projects and Programmes

Gergana Ugrinska has been working as an expert in the International Projects and Programmes Department of the Sofia Urban Mobility Centre for the last six years. She has been involved in ongoing projects in the department related to economic, social and environmental aspects of public transport and mobility. She has experience with projects financed through European programmes or International Financial Institutions (European Bank for Reconstruction and Development, Japan bank for International Cooperation). Gergana has a Master's degree in Economics from the University of National and World Economy, Sofia, Bulgaria.

Evgeni Krushev (M), Expert International Projects

Evgeni Krushev has worked in the Sofia Urban Mobility Centre for the past three years. As an expert within the Development, Programmes and Projects Department he is involved primarily in projects related to smart mobility and sustainable solutions regarding all aspects of transport in the city. Evgeni has a Master's degree in Transport Planning and Engineering from Edinburgh Napier University. He is also proficient in the field of Intelligent Transport Systems (ITS), telematics and transport engineering. He has experience with software packages such as PTV Visum, Vissim, Arcady, Oscady and so on; and is a Member of The Institution of Civil Engineers (UK) and The Chartered Institution of Highways & Transportation (UK).

Relevant previous projects or activities , connected to the subject of this proposal:


FP7 MODUM (2011-2014): MODUM (Models for Optimising Dynamic Urban Mobility) addresses the environmental footprint in the transport sector with the aim of developing a new approach for pro-active demand-responsive management of traffic to enable energy-efficient, multi-modal transport choices accommodating dynamic variations, minimising environmental impact and improving quality of life in urban environments. The approach in MODUM considers commuters, in combinations of both private and public transport, facing dynamic conditions such as unexpected disturbances typical of urban environments. Apart from the technical developments, the project undertook requirement capture for low-carbon and efficient mobility through three qualitative studies each relying on a different research technique, namely: a survey for collecting critical incidents, a two-round Delphi study, and a series of focus groups at four different locations (Manchester, Nottingham, Sofia, and Leuven). The triangulation of these studies has provided an in-depth understanding of current commuting behaviour and practices in addition to the factors that influence such behaviour.

Horizon 2020 The FLOW project addresses topic MG-5.3-2014: Tackling urban road congestion: "Assessing how the role of walking and (safe) cycling in the urban modal split can be increased"

A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work:

Macroscopic Software Visum; Automatic counters;

No. 14	Birmingham City Council	ENGLAND
		BCC
Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:		
<div><div>Birmingham City Council</div><div><p>Birmingham City Council is one of the largest local authorities in Europe. There is a population of 1 million people within the local authority area. The responsibility of the local authority extends to social care, fleet and waste management, highways and transportation, and procurement. There are also a number of strategic functions that include transport planning, sustainability and digital and smart city. The City published its Sustainable Urban Mobility Plan, Birmingham Connected, in November 2014.</p></div></div>		
Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:		
<p>David Harris (M) is Transport Policy Manager at Birmingham City Council. As a result he is the lead officer for developing policies and projects related to the implementation of the Birmingham Connected vision – this includes developing a city centre transport master plan, developing Green Travel Districts, reviewing parking and land use policies and supporting improvements to walking, cycling and public transport infrastructure by reviewing the Council’s approach to road space allocation.</p>		
<p>Birmingham Connected White Paper – November 2014</p> <p>Birmingham Connected supporting work packages (Road space allocation, Public Transport, Servicing & Logistics, Green Travel Districts, Access for people with mobility difficulties, Funding & Finance, Monitoring Strategy)</p> <p>Birmingham Blueprint – A city blue print for low carbon refueling infrastructure.</p>		
Relevant previous projects or activities , connected to the subject of this proposal:		
<p>Birmingham Mobility Action Plan – Opportunities & Constraints report</p> <p>The city, as part of the wider West Midlands Metropolitan area, are developing and delivering proposals for additional rail, light rail and bus rapid transit. In addition, major improvements to cycling infrastructure are underway in the city.</p>		

No. 15	Thessaloniki Public Transport Authority	GREECE
		The PTA
<div><div></div><div><p>Description of Legal Entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal:</p><p>Thessaloniki Public Transport Authority (ThePTA) is a decentralised public authority established in 2001 and supervised by the Ministry of Infrastructure, Transport and Networks. It has the responsibility for decision making on urban public passenger transport matters within the geographical area of the</p></div></div>		

Regional Unity of Thessaloniki. ThePTA is governed by a council of seven members appointed by the Minister of Infrastructure, Transport and Networks. Its members represent the Ministry of Infrastructure, Transport and Networks (Chairman), the Ministry of Finance, the Ministry of Macedonia-Thrace Regions, the Regional Council of Regional Authority of Central Macedonia, Local Authorities Association, the Labour Centre of Thessaloniki and the General Police Headquarters of Thessaloniki (Traffic Road Police). Its main responsibilities include transport policy formulation for the Regional Unity of Thessaloniki, strategic transport planning, programming of interventions, as well as supervision and quality control of all Public Transport Operators within the Regional Unity of Thessaloniki. Its main role is to define the public transport policy framework for the city and to implement an integrated package of policy guidelines according to the formulated policy.

ThePTA recently prepared a Sustainable Urban Mobility Plan for the metropolitan area of Thessaloniki. The SUMP was officially approved by the representatives of the local stakeholders who comprise the board of ThePTA in February 2014.

The Thessaloniki Sustainable Urban Mobility Plan (SUMP) is a strategic plan based on a single acceptable long term vision for transport and mobility throughout the urban area. It covers all means of transport and mobility, as well as the travel behaviour and the parking policy. The chosen measures of the Thessaloniki SUMP are guided not only by the efficiency of the measures but also by their cost effectiveness. Especially in times of crisis and limited funding for urban transport and mobility, it is important that these funds are spent with utmost efficiency, for both users and transport providers as win-win solutions. It was the first of its kind in Greece and was based on the methodology proposed by ELTISPLUS. It was adapted to the particularities of the metropolitan area, the nature of the design and the characteristics of the stakeholders and users. It was designed to require active participation of all stakeholders, particularly local authorities and opinion makers having as a basic instrument the elaboration of the Mobility Forum of Thessaloniki.

The SUMP includes 12 measures for sustainable urban mobility, with an emphasis on public transport. These are: 1. Integrated and Smart Electronic Fare Ticketing System. 2. Bus Lanes, Priority at traffic lights, Bus Rapid Transit (BRT). 3. Information and Awareness campaigns towards the use of Public Transport Systems. 4. TRAM system. 5. Interface between Metro/Tram/Bus with the creation of appropriate spaces for interchanges and restructuring of bus stops. 6. Maritime Public Transport System. 7. Flexible Transport Systems. 8. Integrated Parking Policy. 9. Pedestrianisation and public space regeneration. 10. Bike lanes. 11. Bike Sharing System. 12. Congestion Charge.

Some of these measures have been studied in the context of other European Projects in which ThePTA participated (e.g. NODES: Design and Operation of Urban Transport Interchanges - SUMP Measure No5, ECOTALE: Investigation of a Tramway system for Thessaloniki as a means of urban regeneration – SUMP measure No 4, FLIPPER: Flexible Transport Services in low population density area of the Regional Unit of Thessaloniki - SUMP measure No 7, etc.).

For the two final steps of the application of the ELTIS Plus methodology, i.e. the implementation, monitoring, evaluation and regular updating of the SUMP, ThePTA recently established an in-house SUMP quality assessment unit, specifically assigned with this responsibility. This unit's main aims are to assess the quality of public transport services, and to follow up the implementation of the measures proposed within the SUMP using effective tools and methodologies.

Description of the profile of the persons, including gender, who will be primarily responsible for carrying out the proposal research and/or innovation activities:

ThePTA employs seven transport planning professionals with vast experience in transport planning and engineering, European and national transport policies, transport sustainability, road safety, ITS and transport management. Moreover ThePTA is supported by external experts who contribute their expertise to its work.

Key persons to be involved:

Ms Ifigeneia Balampekou (F) Transportation Planner and Engineer, member of staff

Ifigeneia Balampekou is a Civil Engineer and a Transportation Planner – Engineer. She received her Diploma in Civil Engineering from AUTH in 2000. She holds an MSc in Transportation Planning and

Engineering from the University of Southampton (2006) and an MSc in Transportation Systems Design and Management from AUTH (2004).

She has worked as a Transportation Planner and Engineer for Consultancies, Academia and Authorities where she was involved in various European and National Projects in the field of transport, in both the UK and Greece. The projects in which she participated had a diversified content including Intelligent Transport Systems, traveller information services, flexible transport systems, metropolitan transport authorities, strategic marketing for public transport operators, urban transport interchanges, and so on. Her field of specialization also includes the promotion of public transport and sustainable mobility, the development and evaluation of pedestrian navigation and information services, the impact of social networks on travel choices, as well as the areas of traveller behaviour and public transport marketing.

She currently works for the Public Transport Authority of Thessaloniki, where she is responsible for the management of the FP7 co-funded European project NODES, and for the involvement of the Authority in European project proposals (HORIZON 2020, etc). She is also involved in the daily monitoring of urban bus services.

Mr Samouel Salem (M), Transportation Planner and Engineer, member of staff Samouel- Alexios Salem is a Civil Engineer (AUTH, 2002) and a Transportation Planner and Engineer with a keen interest in Strategic Planning, Data analysis and Transport Modelling. He holds an MSc in Transportation Planning and Engineering from the University of Southampton (2006) and an MSc in Environmental Protection and Sustainable Development from AUTH (2005).

He has worked as a Transportation Planner Engineer for Consultancies and Local Authorities in the UK and Greece and he was the advisor to the Mayor of the city of Veria (Greece) on Transport and Environmental issues for three years (2009-2012). He has been involved in various European and National Projects in the field of transport. His field of expertise lays in the areas of public transport, transport models, environmental appraisals and cost benefit analysis, transport projects, intelligent transport systems, metropolitan transport authorities, urban transport interchanges, public awareness campaigns, promotion of sustainable transport mobility, bench-marking the quality of public transport services and public transport marketing, etc. He currently works for the Public Transport Authority of Thessaloniki where he is responsible for the monitoring of the operation of urban bus services.

Ms Chrysa Vizmpa (F) Transportation Planner and Engineer, member of staff Chrysa Vizmpa is a Rural and Surveyor Engineer (AUTH) and a Transportation Planner and Engineer. She holds an MSc in Transportation Systems Design and Management (AUTH) and an MSc in Environmental Protection and Sustainable Development (AUTH).

She worked for Consultancies until 2010 when she joined ThePTA, after which she was involved in European and national projects. She specializes in Sustainable Urban Mobility Planning, public transport planning, public awareness campaigns, Intelligent Transport Systems, public transport regulation, quality of public transport services, urban rail transport systems, transport surveys and data analysis, GIS, etc.

She currently works for the Public Transport Authority of Thessaloniki where she is responsible for the SUMP Quality Assessment Unit and is also involved in the daily monitoring of urban bus services. She was a member of the ThePTA team which developed the Strategic SUMP of Thessaloniki.

Relevant publications and/ or products, services (incl. widely-used datasets or software), or other achievements relevant to the call content:

Relevant Publications

Translation of the ELTIS Plus Guidelines and Methodology “Developing and Implementing a Sustainable Urban Mobility Plan” in Greek language (available online: http://www.eltis.org/sites/eltis/files/sump-guidelines_el_v2.pdf)

SUMP of Thessaloniki (Available online: <http://www.thita.gov.gr/sites/default/files/Project/Project/svak-thessaloniki-2014.pdf>)

Strategy for the integration of quality issues in Thessaloniki’s urban public transport system

Relevant previous projects or activities , connected to the subject of this proposal:

Relevant Projects:

- NODES (New tools for the design and operation of urban transport interchanges), 2012-2015
- ATTAC (Attractive Urban Public Transport for Accessible Cities), 2011-2014
- ECOTALE (External Costs of Transport and Land Equalization), 2012-2014
- CIVITAS CATALIST, 2010-2011
- BAMBINI, 2009-2012
- Urban Mobility Management Centre of Thessaloniki, 2009-2012

4.2 Third parties involved in the project (incl. use of third party resources)

The beneficiaries must base their contracts/subcontracts on the 'best value-for-money' considering the quality of the service proposed (also called 'best price-quality ratio') or on the lowest price. Beneficiaries that are 'contracting authorities' or 'contracting entities' (within the meaning of the EU public procurement Directives 2004/18/EC and 2004/17/EC — or any EU legislation that replaces these Directives³⁷) must moreover comply with the applicable national law on public procurement.

These rules normally provide for a special procurement procedure for the types of contracts they cover.

No. 1	ICLEI European Secretariat GmbH	GERMANY
		ICLEI EURO
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		Y
WP 5: Improving national resources and impact evaluation (€75.000) SUMPs-Up has reserved a total of €1 million for subcontractors to support the activation, development and implementation of Sustainable Urban Mobility Plans. In three annual calls, the Innovation Pilot Pool will offer technical support to 100 planning authorities, local and regional stakeholders or mobility experts and organisations. The Innovation Pilot Pool will be implemented in WP 6, but relates to activities in WP 4 (learning and capacity building), WP 5 (SUMP support to national stakeholders) and WP 7 (in-depth monitoring of 10 selected authorities). Therefore, four project partners (POLIS, Rupprecht, ICLEI, WI) will share the Innovation Pilot Pool based on their involvement in the IPP implementation in order to share the burden of always ensuring a positive cash flow, as well as contributing to reduced financial risk. ICLEI will take over a share of 75.000€ to finance mainly actions related to WP5 (SUMP support for improved national framework conditions). Detailed guidance for calls for tenderers including eligibility and evaluation criteria will be developed based on experiences and arrangements agreed with the European Commission within the CIVITAS CATALIST and CAPITAL projects. The guidance will also specify the evaluation/ selection procedure, the information of results and the terms and conditions for payment. Technical support will be given to successful IPP tenderers as subcontracts. Subcontract agreements will ensure that the authorities implement their technical supported actions as set out in their tender.		
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N
The amount per subcontract is 15.000 €.		

No. 2	Polis, Promotion of Operational Links with Integrated Services	BELGIUM
		Polis
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		Y
<i>If yes, please describe and justify the tasks to be subcontracted</i>		
WP 6: Innovation Pilot Pool (€337.500)		
SUMPs-Up has reserved a total of €1 million for the activation of planning authorities to develop and implement Sustainable Urban Mobility Plans. In annual calls, the Innovation Pilot Pool will offer support to 100 planning authorities. The IPP will be implemented in WP 6, but relates to activities in WP 4 (learning and capacity building), WP 5 (SUMP support to national stakeholders) and WP 7 (in-depth monitoring of 10 selected authorities). Polis, like ICLEI, Rupprecht and WI will take over a share of the IPP.		
<i>Technical Support for SUMP activities in 90 authorities will be shared by Polis and Rupprecht (WP 6), each holding €337.500.</i>		
Detailed guidance for calls for tenderers including eligibility and evaluation criteria will be developed based on experiences and arrangements agreed with the European Commission within the CIVITAS CATALIST and CAPITAL projects. The guidance will also specify the evaluation/ selection procedure, the information of results and the terms and conditions for payment. Technical support will be given to successful Innovation Pilot Pool tenderers as subcontracts. Subcontract agreements will ensure that the authorities implement their technical supported actions as set out in their tender.		
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N
The amount per subcontract is 7.500 €.		

No. 3	Union of the Baltic Cities Sustainable Cities Commission/City of Turku	Finland
		UBC
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 4	EUROCITIES ASBL	BE
		EUR
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N

Does the participant envisage that part of its work is performed by linked third parties	N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	N

No. 5	Rupprecht Consult – Forschung und Beratung GmbH	GERMANY
		RUPPRECHT
Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)		Y
<i>If yes, please describe and justify the tasks to be subcontracted</i>		
WP 2: Further development of SUMP Self-Assessment Scheme (€20.000)		
<p>Work package 2, led by Rupprecht, foresees further developing the SUMP Self-Assessment Scheme. The Self-Assessment allows cities to assess the compliance of their Sustainable Urban Mobility Plans with EU requirements. The SUMP Self-Assessment will play a crucial role in SUMP-Up: the project will provide a first in-depth analysis of the SUMP status in Europe not later than one year after the tool’s official launch (WP 1), it will be strongly integrated into the planning process support to cities and the SUMP Tool Inventory (WP 2, WP 4), presented as a verification tool for European and national organisation (WP 6) and used for monitoring project impacts in the Innovation Pilot Pool (WP 7).</p> <p>The Self-Assessment is currently running under a ‘software as a service’ licence (survey software is centrally hosted with a service provider and licensed on a subscription basis), which limits flexibility to adapt the scheme. The tool’s pilot phase has confirmed that it is necessary to further develop the Self-Assessment and enhance its functionality. Improvement works in SUMP-Up will need to be conducted by web developers; building the scheme with its multi-dimensional scoring system requires specific programming skills. Improvement works will include converting the tool from a service provider-dependent tool to a stand-alone instrument; programming is foreseen to include features such as comprehensive benchmarking for participating planning authorities, auto-analyses of submitted assessments, enhanced user-friendliness (e.g. improved save and resume options) and full data security. A subcontract of 20.000 Euro is foreseen.</p>		
WP 6: Innovation Pilot Pool (€337.500)		
<p>SUMP-Up has reserved a total of €1 million for subcontractors to support the activation, development and implementation of Sustainable Urban Mobility Plans. In three annual calls, the Innovation Pilot Pool will offer technical support to 100 planning authorities, local and regional stakeholders or mobility experts and organisations. The Innovation Pilot Pool will be implemented in WP 6, but relates to activities in WP 4 (learning and capacity building), WP 5 (SUMP support to national stakeholders) and WP 7 (in-depth monitoring of 10 selected authorities). Therefore, four project partners (POLIS, Rupprecht, ICLEI, WI) will share the subcontracting based on their involvement in the IPP implementation in order to share the burden of always ensuring a positive cash flow, as well as contributing to reduced financial risk.</p> <p><i>Technical support for SUMP activities in 90 planning authorities, local and regional stakeholders or mobility experts organisations will be shared by POLIS and Rupprecht (WP 6), each holding €337.500.</i></p> <p>Detailed guidance for calls for tenderers including eligibility and evaluation criteria will be developed based on experiences and arrangements agreed with the European Commission within the CIVITAS CATALIST and CAPITAL projects. The guidance will also specify the evaluation/ selection procedure, the information of results and the terms and conditions for payment. Technical support will be given to successful Innovation Pilot Pool tenderers as subcontracts. Subcontract agreements will ensure that the</p>		

authorities implement their technical supported actions as set out in their tender.	
Does the participant envisage that part of its work is performed by linked third parties	N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	N
The amount per subcontract is 7.500 €.	

No. 6	Trivector Traffic AB	SWEDEN
		Triv
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 7	Wuppertal Institute for Climate, Environment and Energy	GERMANY
		WUPPERTAL
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		Y
<i>If yes, please describe and justify the tasks to be subcontracted</i>		
WP7: Process monitoring and impact evaluation (€130.000)		
<p>SUMPs-Up has reserved a total of €1 million for subcontractors to support the activation, development and implementation of Sustainable Urban Mobility Plans. In three annual calls, the Innovation Pilot Pool will offer technical support to 100 planning authorities, local and regional stakeholders or mobility experts and organisations. The Innovation Pilot Pool will be implemented in WP 6, but relates to activities in WP 4 (learning and capacity building), WP 5 (SUMP support to national stakeholders) and WP 7 (in-depth monitoring of 10 selected authorities). Therefore, four project partners (POLIS, Rupprecht, ICLEI, WI) will share the subcontracting based on their involvement in the IPP implementation in order to share the burden of always ensuring a positive cash flow, as well as contributing to reduced financial risk.</p> <p><i>For SUMP activities that are accompanied and closely monitored by WI 130.000€ are foreseen.</i></p> <p>Detailed guidance for calls for tenderers including eligibility and evaluation criteria will be developed based on experiences and arrangements agreed with the European Commission within the CIVITAS CATALIST and CAPITAL projects. The guidance will also specify the evaluation/ selection procedure, the information of results and the terms and conditions for payment. Technical support will be given to successful IPP tenderers as subcontracts. Subcontract agreements will ensure that the authorities implement their technical supported actions as set out in their tender.</p>		
Does the participant envisage that part of its work is performed by linked third parties		N

Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement) WP7: Monitoring & Evaluation (€130.000) For more information on the IPP please refer to ICLEI, Partner No.1	N
The amount per subcontract is 13.000 €.	

No. 8	Centre d'études et d'expertise sur les risques, l'environnement, la mobilité et l'aménagement	FRANCE
		Cerema
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 9	Fondazione Torino Wireless (TOWL)	ITALY
		TOWL
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 10	Ayuntamiento de Donostia / San Sebastián	SPAIN
		ADS
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 11	City of Malmö / Malmö kommun	SWEDEN
		CoM
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N

Does the participant envisage that part of its work is performed by linked third parties	N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	N

No. 12	BKK BUDAPESTI KOZLEKEDESI KOZPONT ZARTKORUEN MUKODO RESZVENYTARSASAG	HUNGARY
		BKK
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 13	Sofia Urban Mobility Centre	BULGARIA
		SUMC
Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 14	Birmingham City Council	ENGLAND
		BCC
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

No. 15	Thessaloniki Public Transport Authority	GREECE
		The PTA
Does the participant plan to subcontract certain tasks (please note that core tasks of the action should not be sub-contracted)		N
Does the participant envisage that part of its work is performed by linked third parties		N
Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)		N

5 Ethics and Security

5.1 Ethics

Ethics requirements

Details on the procedures and criteria that will be used to identify/recruit research participants must be provided.

The research conducted as part of the SUMP-UP project will use a variety of qualitative data collection methods, including city self-assessment surveys by public officials, informational interviews with public officials, and document review/desk research on publically-funded transportation planning projects and programs.

No research will be conducted that requires collecting any real, personal, or sensitive data of any individuals. No biomedical, psychological or sociological research will be conducted. No vulnerable groups (e.g., children, elderly, people of ill health, disabled people) will play a role as informants in any of the SUMP-UP research activities. All human participation will be voluntary and limited to public officials and transportation professionals. No personal or sensitive information will be collected as part of the research, public participation, or dissemination phases of the SUMP-UP project.

Detailed information must be provided on the informed consent procedures that will be implemented for the participation of humans.

All participants will be informed that their data will be processed. Their consent will be asked.

Templates of the informed consent forms and information sheet must be submitted on request.

All participants will have available templates of the informed consent forms; information sheet; copies of permission; copies of notifications/authorisations for the collection and/or processing of the personal data; or other consent documents, if it is asked or relevant.

The following information will be provided: details on the procedures for data collection, storage, protection, retention, transfer, destruction or re-use (including collection methodology, methods of storage and exchange, data structure and preservation, data-merging or exchange plan, commercial exploitation of data sets etc.); details on your data safety procedures; confirmation that informed consent has been obtained.

The applicant must clarify whether children and/or adults unable to give informed consent will be involved and, if so, justification for their participation must be provided.

Not applicable for the SUMP-UP project, as described above, such persons will not be involved.

Details on incidental findings policy must be provided.

SUMP-UP does not involve the presence of patients during the project. Therefore, details on the nature of disease/condition/disability; details on recruitment, inclusion and exclusion criteria and informed consent procedures; or details on the policy for incidental findings are not necessary.

Copies of ethics approvals for the research with humans must be submitted.

This will be covered in D10.1

Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation.

The SUMPS Up project may use methods and technologies that involve the collection, processing and storage of data. Should these methods and technologies be used, all data collection and processing will be undertaken within the established European and national legal frameworks and will conform to relevant regulations and directives for privacy and data protection, namely Directive 95/46/EC (Data Protection Directive), the General Data Protection Regulation (GDPR) that will replace it, the Directive on Privacy and Electronic Communications, and Directive 2006/24/EC on the retention of data.

The following principles will define the project's approach with regard to the collection of real data:

- **Compliance with Legislation:** Any real data collected for research and demonstration purposes will be handled in accordance with the Data Protection legislation in the concerned countries and each company handling the data will be registered to handle this type of information with their data protection authority.
- **Openness:** All collection processes will be transparent on how data is collected, used, and shared.
- **Accountability:** The consortium partners of SUMPS Up will be accountable to comply with the above principles.

Detailed information on the informed consent procedures that will be implemented in regard to the collection, storage and protection of personal data must be submitted on request.

The collection of personal sensitive data is not anticipated as part of the SUMPS Up project. However, the SUMPS Up consortium will provide detailed information on the information consent procedures that will be implemented if personal data are collected, if requested according to applicable national and European legislation.

Copies of opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority must be submitted (which ever applies according to the Data Protection Directive (EC Directive 95/46, currently under revision, and the national law).

This will be included in D 10.1

If the position of a Data Protection Officer is established, their opinion/confirmation that all data collection and processing will be carried according to EU and national legislation, should be submitted.

SUMPS Up will consider involving/appointing a Data Protection Officer. In this case, their oversight role on data collection and processing will be fully integrated into the project activities and carried out according to EU and national legislation.

Justification must be given in case of collection and/or processing of personal sensitive data.

As stated, no personal sensitive data will be collected and/or processed as part of the SUMPS Up project. Not applicable to the SUMPS Up project.

Templates of the informed consent forms and information sheet must be submitted.

This will be included in D 10.1.

The applicant must explicitly confirm that the data used are publicly available.

The SUMPS Up project will use the survey data to optimise training materials. These survey data will only be accessible for the SUMPS Up project partners and the survey participants.

All participants will have available templates of the informed consent forms; information sheet; copies of permission; copies of notifications/authorisations for the collection and/or processing of the personal data; or other consent documents, if it is asked or relevant. The SUMP-UP project will ensure that anonymized data and conclusive findings from the research of the project will be publically available. Evidence of open public access will be provided.

The following information will be provided: details on the procedures for data collection, storage, protection, retention, transfer, destruction or re-use (including collection methodology, methods of storage and exchange, data structure and preservation, data-merging or exchange plan, commercial exploitation of data sets etc.); details on your data safety procedures; confirmation that informed consent has been obtained and data is openly and publicly accessible or that consent for secondary use was obtained.

The applicant must provide a thorough analysis of the ethics issues raised by this project and the measures that will be taken to ensure compliance with the ethical standards of H2020.

The SUMP-UP project will comply with ethical principles and relevant national, EU and international legislation. A thorough analysis of the ethics issues raised by the SUMP-UP project will be completed by the project consortium before the kick-off-meeting and by Month 2 will prepare an action plan that details the measures to be taken to ensure compliance with the ethical standards of Horizon 2020.

SUMP-UP will also generate and refine knowledge on SUMP. However, as most (if not all) of existing SUMP knowledge has been generated in the scope of other mobility projects and is available for free, SUMP-UP will continue with this principle and make available its products and associated research (through reports) for all and at no cost, without the use of patents, trademarks or the creation of copyrighted works.

- Deliverables:

- **D.10.1:** GEN - POPD - H - Requirement No. 1
 - Copies of ethics approvals for the research with humans must be submitted.
 - Copies of opinion or confirmation by the competent Institutional Data Protection Officer and/or authorization or notification by the National Data Protection Authority must be submitted
 - Templates of the informed consent forms and information sheet must be submitted

5.2 Security

Please indicate if your project will involve:

Activities or results raising security issues: NO

'EU-classified information' as background or results: NO

ESTIMATED BUDGET FOR THE ACTION (page 1 of 2)

Estimated eligible ¹ costs (per budget category)				EU contribution			Additional information										
A. Direct personnel costs		B. Direct costs of subcontracting		[C. Direct costs of fin. support]		D. Other direct costs	E. Indirect costs ²	Total costs	Reimbursement rate %	Maximum EU contribution ³	Maximum grant amount ⁴	Information for indirect costs	Information for auditors	Other information:			
Form of costs ⁶	Actual	Unit ⁷	Unit ⁸		Actual	Actual	Actual	Flat-rate ⁹	25%	(g)=0.25x (a)+(b)+(c)+(d)+(e)+(f)- +[(h1)+(h2)]-(m)	(i)=(a)+(b)+(c)+(d)+(e)+(f)+(g)+(h1)+(h2)+(h3)	(j)	(k)	(l)	(m)	Declaration of costs under Point D.4	Estimated costs of beneficiaries/parties not receiving EU funding
			No hours	Total (c)													
1. ICLEI EURO	327000.00	0.00	0	0.00	75000.00	0.00	240050.00	141762.50	100.00	783812.50	783812.50	0.00	No				
2. POLIS	220400.00	0.00	0	0.00	337500.00	0.00	250500.00	61362.50	100.00	644312.50	644312.50	0.00	No				
3. CITY OF TURKU	112640.00	0.00	0	0.00	0.00	0.00	205500.00	33297.50	100.00	166487.50	166487.50	0.00	No				
4. EUROCIITIES ASBL	164500.00	0.00	0	0.00	0.00	0.00	225500.00	46762.50	100.00	233812.50	233812.50	0.00	No				
5. RUPPRECHT	342000.00	0.00	0	0.00	357500.00	0.00	282690.00	92567.25	100.00	820336.25	820336.25	0.00	No				
6. TRIVECTOR	159745.00	0.00	0	0.00	0.00	0.00	9000.00	42186.25	100.00	210931.25	210931.25	0.00	No				
7. WI	169884.00	0.00	0	0.00	130000.00	0.00	127500.00	45658.50	100.00	358292.50	358292.50	0.00	No				
8. Cerema	89199.00	0.00	0	0.00	0.00	0.00	185500.00	26937.25	100.00	134686.25	134686.25	0.00	No				
9. TOWL	86400.00	0.00	0	0.00	0.00	0.00	8200.00	23650.00	100.00	118250.00	118250.00	0.00	No				
10. ADS	76000.00	0.00	0	0.00	0.00	0.00	8200.00	21050.00	100.00	105250.00	105250.00	0.00	No				
11. Malmö	84016.00	0.00	0	0.00	0.00	0.00	8200.00	23054.00	100.00	115270.00	115270.00	0.00	No				
12. BKK	56000.00	0.00	0	0.00	0.00	0.00	8200.00	16050.00	100.00	80250.00	80250.00	0.00	No				
13. SUMC	21984.00	0.00	0	0.00	0.00	0.00	8200.00	7546.00	100.00	37730.00	37730.00	0.00	No				
14. BCC	80000.00	0.00	0	0.00	0.00	0.00	8200.00	22050.00	100.00	110250.00	110250.00	0.00	No				
15. THEPTA	56000.00	0.00	0	0.00	0.00	0.00	8200.00	16050.00	100.00	80250.00	80250.00	0.00	No				
Total consortium	2045768.00	0.00		0.00	900000.00	0.00	434169.00	619984.25		399921.25	399921.25	0.00					0.00

ESTIMATED BUDGET FOR THE ACTION (page 2 of 2)

- (1) See Article 6 for the eligibility conditions
- (2) The indirect costs covered by the operating grant (received under any EU or Euratom funding programme; see Article 6.5 (b)) are ineligible under the GA. Therefore, a beneficiary that receives an operating grant during the action's duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant (see Article 6.2 E).
- (3) This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying all the budgeted costs by the reimbursement rate). This theoretical amount is capped by the 'maximum grant amount' (that the Commission/Agency decided to grant for the action) (see Article 5.1).
- (4) The 'maximum grant amount' is the maximum grant amount decided by the Commission/Agency. It normally corresponds to the requested grant, but may be lower.
- (5) Depending on its type, this specific cost category will or will not cover indirect costs. Specific unit costs that include indirect costs are: costs for energy efficiency measures in buildings, access costs for providing trans-national access to research infrastructure and costs for clinical studies.
- (6) See Article 5 for the forms of costs
- (7) Unit : hours worked on the action; costs per unit (hourly rate) : calculated according to beneficiary's usual accounting practice
- (8) See Annex 2a 'Additional information on the estimated budget' for the details (costs per hour (hourly rate)).
- (9) Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs
- (10) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit)
- (11) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit, estimated number of units, etc)
- (12) Only specific unit costs that do not include indirect costs
- (13) See Article 9 for beneficiaries not receiving EU funding
- (14) Only for linked third parties that receive EU funding

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

POLIS - PROMOTION OF OPERATIONAL LINKS WITH INTEGRATED SERVICES, ASSOCIATION INTERNATIONALE (POLIS) AISBL, 5383/97, established in rue du Trône 98, BRUXELLES 1050, Belgium, BE460400701 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('2')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Karen VANCLUYSEN with ECAS id nvancln signed in the Participant Portal on 19/06/2016 at 12:09:12 (transaction id SigId-78423-6k4VcmdW2qN4ONwY1ryzncmnzVofyi2vzXm8wP5MVTUTGjiSQNEpzW88DcgfaGVZSQzLqJZhtndA8PNjXoUj2e-Jj71zxYb8yrCzGM5MsUFAs-IM01iAkmiXjngDHs7JmWd1UDHf5YpApLcHWs7IzloQY3Q). Timestamp by third party at Sun Jun 19 13:09:19 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

CITY OF TURKU (CITY OF TURKU), 02048198, established in YLIOPISTONKATU 27 A, TURKU 20100, Finland, FI02048198 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('3')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Tuomas HEIKKINEN with ECAS id nheiktuo signed in the Participant Portal on 22/06/2016 at 08:24:33 (transaction id Sigld-109534-sAlj6P6d4ZSoWD1YPIY913kIAW8ac7S9bWzo5da7Rxu5MYQEAQPzgPlv BitF6bzmO0bSQNtbTHFJXzRRbzO4h8N-Jj71zxYb8yrCzGM5MsUFAs-DRBzwduNbQ8fEiWZ2pUjxzQYcxodlQDUmzxzpT1roTiR). Timestamp by third party at Wed Jun 22 09:24:41 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

EUROCITIES ASBL (EUROCITIES ASBL) ASBL, 447820987, established in SQUARE DE MEEUS 1, BRUXELLES 1000, Belgium, BE0447820987 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('4')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Anna Lisa BONI with ECAS id nboalisa signed in the Participant Portal on 16/06/2016 at 09:57:55 (transaction id SigId-56901-8zazbxG8V89Nu82f14WUFICeBW82en13HyD7TflwnwLNUa5FbVKufqCEf9luGfIK6KB0ZKJ1bVDTu8eNnWyg7R-J71zxYb8yrCzGM5MsUFAs-DK4zs3zqc3h62cLJb40mizlbCZcTzumzuX1BJFWV5DRW). Timestamp by third party at Thu Jun 16 10:58:03 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GMBH (RUPPRECHT) GMBH, HRB30833, established in CLEVER STRASSE 13-15, KOELN 50668, Germany, DE198534371 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('5')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)* **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Siegfried RUPPRECHT with ECAS id nrusiegt signed in the Participant Portal on 16/06/2016 at 16:42:04 (transaction id SigId-66214-O4aZ8cQbSzSA2La1KrFY5ckRuS8xNPpUjXRu0o6bhpVcDcDpNiv8pPzyC0kvv3UDHzcCTof1mVbg2jBezHc2y-Jj71zxYb8yrCzGM5MsUFAs-oFyzHrZJ1oDVfX3mbBaksrhCivGq8oUX2rJVXB0meZe). Timestamp by third party at Thu Jun 16 17:42:11 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

Trivector Traffic AB (TRIVECTOR) AB, 556555 1701, established in Åldermansgatan 13, Lund S-22764, Sweden, SE556555170101 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('6')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Lena SMIDFELT ROSQVIST with ECAS id nsmidfle signed in the Participant Portal on 20/06/2016 at 09:24:45 (transaction id Sigld-81001-N3JzLEHzo5Xrij4VlpGHEsD01zoYyy0so5AV1RrkVQGwyOU4EkGUzr9ga0wPPlqBteCzqQa6PlhYLROs1l8OKSd-Jj71zxYb8yrCzGM5MsUFAs-X6dxc4a4NBogkdUsNsoc77AUqoJcbSAtalzdAcmZzSNm). Timestamp by third party at Mon Jun 20 10:24:54 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

WUPPERTAL INSTITUT FUR KLIMA, UMWELT, ENERGIE GMBH (WI) GMBH, HRB7619, established in DOPPERSBERG 19, WUPPERTAL 42103, Germany, DE121091633 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('7')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Antje DIEKMANN-PAGE with ECAS id ndiekant signed in the Participant Portal on 20/06/2016 at 12:23:10 (transaction id Sigld-85343-zJE96lrek8kQGEuzqe0YNKP5C3claHXXnXZkSAzhtX9QGczozNKtvk27CrAAfbkGKoi7ASzczhSZZ3YBumN0d98-J71zxYb8yrCzGM5MsUFAs-dLqwbeBSmjV9HWZlHki2oyGzYn7DLC5UVMvDqhpR9YH). Timestamp by third party at Mon Jun 20 13:23:19 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

CENTRE D ETUDES ET D EXPERTISE SUR LES RISQUES L ENVIRONNEMENT LA MOBILITE ET L AMENAGEMENT (Cerema), 130018310, established in 25 AV FRANCOIS MITTERRAND, BRON 69500, France, FR94130018310 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('8')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)* and the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

CHRISTIAN CURE with ECAS id ncuchris signed in the Participant Portal on 14/06/2016 at 16:24:31 (transaction id SigId-39095-e6y8BvkTjzQXaL48e3cniA2NMQgHZ6tySlhZ4m23SpUzX9zczVxgopkBN GAYzKm72wbcXd7sVWkrCrwCGUGF6iEL-JJ71zxYb8yrCzGM5MsUFAs-E2r4lrBKqQlarzMQ7sySKto6IUDVJXXqTrEJC91zbxkm). Timestamp by third party at Tue Jun 14 17:24:41 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

FONDAZIONE TORINO WIRELESS (TOWL) IT3, CF97634160010, established in GALLERIA SAN FEDERICO 54, TORINO 10122, Italy, IT09049730014 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('9')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Rodolfo ZICH with ECAS id nzicrodo signed in the Participant Portal on 15/06/2016 at 11:40:37 (transaction id SigId-46089-x92n2sjBF3GCCGjp5XTqeIRoBk4BnuMNUHHROxd7gEbLRQFUozNtwWHHk7LfQhZs2gBIBzzaNzQS8zm278g3w6Vd-Jj71zxYb8yrCzGM5MsUFAs-oG2WuVHVPMkvfaU6IVIRfSex9zxZzx6jBm98IB4f8w4G). Timestamp by third party at Wed Jun 15 12:40:50 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

AYUNTAMIENTO DE DONOSTIA SAN SEBASTIAN (ADS), N/A, established in CALLE IGENTEA 1, SAN SEBASTIAN 20003, Spain, ESP2007400A ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('10')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Euken SESE with ECAS id nseseek signed in the Participant Portal on 20/06/2016 at 12:34:03 (transaction id Sigld-85582-zTFn9D7zozzmh6Btmbj18dOIK1XV5fSxMilzpdB8zykMo6RzbcACXO0wgRoNWtr8TuA7gTpN14FrnJB5NXfs3Lu-Jj71zxYb8yrCzGM5MsUFAs-WRKPZGxSzy4EY40VW4lYaicDPkEbvShBobxQ7wBgSdT). Timestamp by third party at Mon Jun 20 13:34:10 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

MALMO STAD (Malmö), 2120001124, established in AUGUST PALM PLATS 1, MALMO 200 42, Sweden, SE212000112401 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('11')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMPs-Up)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Klas JOHANSSON with ECAS id njoanski signed in the Participant Portal on 29/06/2016 at 07:26:36 (transaction id Sigld-21186-XMPgFbBl3nH3fJwEidB9tzxkNGaM4BjD4exzpYxAYN08jt7gnnWGFICsDgUIR8gfLt5px9zNzSUIOr5vRoL8pnu-Jj71zxYb8yrYygdv9MCRy-vCnxOBo3hq8Vi3K53bcgzcqWFWL9lzs5UHpgWzmEpJ8).
Timestamp by third party at
Wed Jun 29 08:26:45 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

BKK BUDAPESTI KOZLEKEDESI KOZPONT ZARTKORUEN MUKODO RESZVENYTARSASAG (BKK) RT, 0110046840, established in RUMBACH SEBESTYEN UTCA 19-21, BUDAPEST 1075, Hungary, HU17781372 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('12')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Kálmán DABÓCZI DR. with ECAS id ndabkalm signed in the Participant Portal on 28/06/2016 at 15:35:41 (transaction id SigId-17749-Bj2zyObdH72p5lQJfRvFBEtkAl9HE2fzzGuk1rzWBunoVVJb0zPCVYda9gZRysW9dAfwmaSqupRt4j5tyTsGmqO-Jj71zxYb8yrYygdMv9MCry-1QzSjgaYCSQQdRyNUzxSqWeY9UYfzTlxzpd9VSpXWYyR).
Timestamp by third party at
Tue Jun 28 16:35:50 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

TSENTAR ZA GRADSKA MOBILNOST EAD (SUMC) EAD, BG202218735 , established in Kniaginia Maria Luiza Blvd. 84, Sofia 1202 , Bulgaria, BG202218735 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('13')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

SIMEON ARNAUDOV with ECAS id narnausi signed in the Participant Portal on 16/06/2016 at 11:40:32 (transaction id 'SigId-59407-W1I4FWSXKy62wkioaeC66n3NXHkCrC91zxWzQXuYBMnV7znDptPVpolwpEuPGNkWrmsXaRAXNpydwKIC2AEzy-Jj71zxYb8yrCzGM5MsUFAs-2YjZsnstexyLIGF7SQwWUZ1kErR9JntIryOKAv5zNdm'). Timestamp by third party at Thu Jun 16 12:40:39 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

BIRMINGHAM CITY COUNCIL (BCC), established in COUNCIL HOUSE, VICTORIA SQUARE, BIRMINGHAM B1 1BB, United Kingdom, GB112082130 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('14')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)*
and *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

LLOYD BROAD with ECAS id nbroadll signed in the Participant Portal on 16/06/2016 at 12:39:50 (transaction id Sigld-60297-kzxf44uAaSmbWvnM9ANzrFb9xwNaRSQv6zJ86lBakgA6t9fdRWq9C9l399SH1dWKju9k431dzd1rlP3iQ9IL18-Jj71zxYb8yrCzGM5MsUFAs-1nOWnPhKr1vKziaO15bRpd1Wuqk3d4Jizxi6Jkue1bzO). Timestamp by third party at Thu Jun 16 13:39:57 CEST 2016



ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

THESSALONIKI PUBLIC TRANSPORT AUTHORITY (THEPTA), established in GEORGIKIS SCHOLIS AVENUE 65, PYLEA THESSALONIKI 57001, Greece, EL099956698 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

hereby agrees

to become *beneficiary* No ('15')

in Grant Agreement No 690669 ('the Agreement')

between ICLEI EUROPEAN SECRETARIAT GMBH (ICLEI EUROPASEKRETARIAT GMBH)* **and** *the Innovation and Networks Executive Agency (INEA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

for the action entitled 'European Programme for Accelerating the Take up of Sustainable Urban Mobility Plans (SUMP-UP)'.

and mandates

the *coordinator* to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

Ioannis PALAISTIS with ECAS id npalaiio signed in the Participant Portal on 15/06/2016 at 09:48:51 (transaction id Sigld-43562-CwtqNFI01rU7PUB8oYx7nzsGqwFAZfunv4PtFeP00FSTkf8X40HzftEXC8S0QJuvG68g4M7KsDpmSUGa2aUTHD-Jj71zxYb8yrCzGM5MsUFAs-wQyKUzqolv5MveXfxH0YyzmgZpFKLUqLPyaNoCAsmsIG). Timestamp by third party at Wed Jun 15 10:49:04 CEST 2016

MODEL ANNEX 4 FOR H2020 GENERAL MGA — MULTI

FINANCIAL STATEMENT FOR [BENEFICIARY [name]]/ LINKED THIRD PARTY [name]] FOR REPORTING PERIOD [reporting period]

Eligible ¹ costs (per budget category)										Receipts	EU contribution		Additional information
A. Direct personnel costs		B. Direct costs of subcontracting	[C. Direct costs of fin. support]		D. Other direct costs		E. Indirect costs ²	[F. Costs of ...]		Total costs	Reimbursement rate %	Maximum EU contribution ³	Requested EU contribution
A.1 Employees (or equivalent)	A.4 SME owners without salary				D.1 Travel	[D.4 Costs of large research infrastructure]		[F.1 Costs of ...]					
A.2 Natural persons under direct contract	A.5 Beneficiaries that are natural persons without salary				D.2 Equipment								
A.3 Seconded persons					D.3 Other goods and services								
[A.6 Personnel for providing access to research infrastructure]													
Form of costs ⁴	Actual	Unit	Actual	Actual	Actual	Actual	Flat-rate ⁵	Unit					
							25%						
	a	Total b	d	[e]	f	[g]	$h=0,25 \times (a+b+c+f[g] + [i] + [j] - o)$	No units	Total [11]	$j = a+b+c+d[e]+f-[g] +h+[i] + [j]$	i	m	n
[short name beneficiary/linked third party]													
Costs of in-kind contributions not used on premises													
o													

The beneficiary/linked third party hereby confirms that:
The information provided is complete, reliable and true.
The costs declared are eligible (see Article 6).
The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).
For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

1 Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

2 See Article 6 for the eligibility conditions

3 The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.E). If you have received an operating grant during this reporting period, you cannot claim any indirect costs.

4 This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may have to be less (e.g. if you and the other beneficiaries are above budget, if the 90% limit (see Article 21) is reached, etc).

5 See Article 5 for the form of costs

6 Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.E)

Only specific unit costs that do not include indirect costs

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

ANNEX 5

MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data

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H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: [insert name of the beneficiary] (*‘the Beneficiary’*)] [OPTION 2: [insert name of the linked third party] (*‘the Linked Third Party’*), third party linked to the Beneficiary [insert name of the beneficiary] (*‘the Beneficiary’*)]

agrees to engage

[insert legal name of the auditor] (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the Financial Statement(s)¹ drawn up by the [Beneficiary] [Linked Third Party] for the Horizon 2020 grant agreement [insert number of the grant agreement, title of the action, acronym and duration from/to] (*‘the Agreement’*), and

to issue a Certificate on the Financial Statements’ (*‘CFS’*) referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission (‘the Commission’)*][OPTION 2: *the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)*][OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’).*]

¹ By which costs under the Agreement are declared (see template ‘Model Financial Statements’ in Annex 4 to the Grant Agreement).

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The *[Commission]* *[Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only.
The *[European Union]**[Euratom]**[Agency]* is not a party to this engagement.

1.1 Subject of the engagement

The coordinator must submit to the *[Commission]**[Agency]* the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement..

The CFS is composed of two separate documents:

- The Terms of Reference ('the ToR') to be signed by the *[Beneficiary]* *[Linked Third Party]* and the Auditor;
- The Auditor's Independent Report of Factual Findings ('the Report') to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or the competent public officer) which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the *[Commission,]**[Agency,]* the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

1.2 Responsibilities

The *[Beneficiary]* *[Linked Third Party]*:

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the *[Beneficiary's] [Linked Third Party's]* accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the *[Beneficiary's] [Linked Third Party's]* staff and accounting as well as any other relevant records and documentation.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the *[Beneficiary's] [Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

The Auditor must comply with these Terms of Reference and with²:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the [Commission][Agency] requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary *[and the Linked Third Party]*, and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

Under Article 22 of the Agreement, the [Commission] [Agency], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from [the European Union] [Euratom] budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the [Commission] [Agency], the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by [dd Month yyyy].

² Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

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1.6 Other terms

[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]

[legal name of the Auditor]

[legal name of the [Beneficiary][Linked Third Party]]

[name & function of authorised representative] [name & function of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor

Signature of the [Beneficiary][Linked Third Party]

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Independent Report of Factual Findings on costs declared under Horizon 2020 Research and Innovation Framework Programme

(To be printed on the Auditor's letterhead)

To

[name of contact person(s)], [Position]

[*Beneficiary's* *Linked Third Party's* name]

[Address]

[dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: *insert name of the beneficiary*] ('the Beneficiary') [OPTION 2: *insert name of the linked third party*] ('the Linked Third Party'), third party linked to the Beneficiary [*insert name of the beneficiary*] ('the Beneficiary'),

we

[name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

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have carried out the procedures agreed with you regarding the costs declared in the Financial Statement(s)³ of the [Beneficiary] [Linked Third Party] concerning the grant agreement

[insert grant agreement reference: number, title of the action and acronym] ('the Agreement'),

with a total cost declared of

[total amount] EUR,

and a total of actual costs and 'direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices' declared of

[sum of total actual costs and total direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices] EUR

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

The Procedures were carried out solely to assist the [Commission] [Agency] in evaluating whether the [Beneficiary's] [Linked Third Party's] costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The [Commission] [Agency] draws its own conclusions from the Report and any additional information it may require.

³ By which the Beneficiary declares costs under the Agreement (see template 'Model Financial Statement' in Annex 4 to the Agreement).

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The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the [Beneficiary's] [Linked Third Party's] Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

Not applicable Findings

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

Explanation (to be removed from the Report):

If a Finding was not applicable, it must be marked as 'N.A.' ('Not applicable') in the corresponding row on the right-hand column of the table and means that the Finding did not have to be corroborated by the Auditor and the related Procedure(s) did not have to be carried out.

The reasons of the non-application of a certain Finding must be obvious i.e.

- i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable;*
- ii) if the condition set to apply certain Procedure(s) are not met the related Finding(s) and those Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than euro' the Procedure and Finding related to 'beneficiaries with accounts established in euro' are not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.*

List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.

....

Exceptions

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

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Explanation (to be removed from the Report):

- If the Auditor was not able to successfully complete a procedure requested, it must be marked as 'E' ('Exception') in the corresponding row on the right-hand column of the table. The reason such as the inability to reconcile key information or the unavailability of data that prevents the Auditor from carrying out the Procedure must be indicated below.
- If the Auditor cannot corroborate a standard finding after having carried out the corresponding procedure, it must also be marked as 'E' ('Exception') and, where possible, the reasons why the Finding was not fulfilled and its possible impact must be explained here below.

List here any exceptions and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, include the corresponding amount.

....

Example (to be removed from the Report):

1. The Beneficiary was unable to substantiate the Finding number 1 on ... because
2. Finding number 30 was not fulfilled because the methodology used by the Beneficiary to calculate unit costs was different from the one approved by the Commission. The differences were as follows: ...
3. After carrying out the agreed procedures to confirm the Finding number 31, the Auditor found a difference of _____ EUR. The difference can be explained by ...

Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor would like to make the following general remarks:

Example (to be removed from the Report):

1. Regarding Finding number 8 the conditions for additional remuneration were considered as fulfilled because ...
2. In order to be able to confirm the Finding number 15 we carried out the following additional procedures:

Use of this Report

This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the [Beneficiary] [Linked Third Party] and the [Commission] [Agency], and only to be submitted to the [Commission] [Agency] in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the [Beneficiary] [Linked Third Party] or by the [Commission] [Agency] for any other purpose, nor may it

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be distributed to any other parties. The [Commission] [Agency] may only disclose the Report to authorised parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the [Commission] [Agency] by the [Beneficiary] [Linked Third Party] for the Agreement. Therefore, it does not extend to any other of the [Beneficiary's] [Linked Third Party's] Financial Statement(s).

There was no conflict of interest⁴ between the Auditor and the Beneficiary [and Linked Third Party] in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR [] (including EUR [] of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

[legal name of the Auditor]

[name and function of an authorised representative]

[dd Month yyyy]

Signature of the Auditor

⁴ A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;
- stands to benefit directly should the certificate be accepted;
- has a close relationship with any person representing the beneficiary;
- is a director, trustee or partner of the beneficiary; or
- is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to ‘the Beneficiary’ is to be considered as a reference to ‘the Linked Third Party’.

The ‘result’ column has three different options: ‘C’, ‘E’ and ‘N.A.’:

- ‘C’ stands for ‘confirmed’ and means that the auditor can confirm the ‘standard factual finding’ and, therefore, there is no exception to be reported.
- ‘E’ stands for ‘exception’ and means that the Auditor carried out the procedures but cannot confirm the ‘standard factual finding’, or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- ‘N.A.’ stands for ‘not applicable’ and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for ‘beneficiaries with accounts established in a currency other than the euro’ the Procedure related to ‘beneficiaries with accounts established in euro’ is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE		

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A.</p> <p><i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of 10 people, or 10% of the total, whichever number is the highest)</i></p> <p>The Auditor sampled [] people out of the total of [] people.</p>		
A.1	<p>PERSONNEL COSTS</p> <p>For the persons included in the sample and working under an employment contract or equivalent act <u>(general procedures for individual actual personnel costs and personnel costs declared as unit costs)</u></p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> o a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract; o the payslips of the employees included in the sample; o reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system; o information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent; 	<p>1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary's sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary's usual practices.</p> <p>2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.</p> <p>3) Costs were adequately supported and reconciled with the accounts and payroll</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the Beneficiary's usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay); applicable national law on taxes, labour and social security and any other document that supports the personnel costs declared. <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>	records.	
		4) Personnel costs did not contain any ineligible elements.	
		5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.	
		6) The Beneficiary paying "additional remuneration" was a non-profit legal entity.	
		7) The amount of additional remuneration paid to the Beneficiary's usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.	
	<p><i>Further procedures if 'additional remuneration' is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory obligations, the Beneficiary's usual policy on additional remuneration, criteria used for its calculation...); recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, etc.) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 'Productive hours' and A.4 'Time recording system'). 		

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE IS NOT MANDATORY ACCORDING TO THE NATIONAL LAW OR THE EMPLOYMENT CONTRACT ("ADDITIONAL REMUNERATION") AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</p> <p>(A) IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</p> <p>(B) IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</p> <p>(C) IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</p>	8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.	
		9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).	
	<p><i>Additional procedures in case "unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices" is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard factual findings 10-13 listed in the next column:</p>	10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently used in all H2020 actions.	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs; reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS; verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records; verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts; verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents. 	11) The employees were charged under the correct category.	
		12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.	
		13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.	
	<p><u>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</u></p> <p>To confirm standard factual findings 14-18 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary; 	14) The natural persons reported to the Beneficiary (worked under the Beneficiary's instructions).	
		15) They worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> the employment conditions of staff in the same category to compare costs and; any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.). 	16) The results of work carried out belong to the Beneficiary.	
		17) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.	
		18) The costs were supported by audit evidence and registered in the accounts.	
	<p><u>For personnel seconded by a third party and included in the sample (not subcontractors)</u></p> <p>To confirm standard factual findings 19-22 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results; if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit; 	19) Seconded personnel reported to the Beneficiary and worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	
		20) The results of work carried out belong to the Beneficiary.	
		<p><i>If personnel is seconded against payment:</i></p> <p>21) The costs declared were supported with documentation and recorded in the</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll; any other document that supports the costs declared (e.g. invoices, etc.). 	<p>Beneficiary's accounts. The third party did not include any profit.</p> <p><i>If personnel is seconded free of charge:</i></p> <p>22) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	
A.2	<p>PRODUCTIVE HOURS</p> <p>To confirm standard factual findings 23-28 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> the annual productive hours applied were calculated in accordance with one of the methods described below, the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated. 	<p>23) The Beneficiary applied method [choose one option and delete the others]</p> <p>[A: 1720 hours]</p> <p>[B: the 'total number of hours worked']</p> <p>[C: 'annual productive hours' used correspond to usual accounting practices]</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the ‘annual productive hours’ applied when calculating the hourly rate were equivalent to at least 90 % of the ‘standard annual workable hours’. The Auditor can only do this if the calculation of the standard annual workable hours can be supported by records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY’S PRODUCTIVE HOURS’ FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</p> <p>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS ‘TOTAL NUMBER OF HOURS WORKED’ IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</p>	24) Productive hours were calculated annually.	
		25) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.	
		<i>If the Beneficiary applied method B.</i>	
		26) The calculation of the number of ‘annual workable hours’, overtime and absences was verifiable based on the documents provided by the Beneficiary.	
		<i>If the Beneficiary applied method C.</i>	
		27) The calculation of the number of ‘standard annual workable hours’ was verifiable based on the documents provided by the Beneficiary.	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</p> <p>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</p>	<p>28) The 'annual productive hours' used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the 'annual workable hours'.</p>	
A.3	<p>HOURLY PERSONNEL RATES</p> <p>I) For unit costs calculated in accordance to the Beneficiary's usual cost accounting practice (unit costs):</p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission's letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the</p>	<p>29) The Beneficiary applied [choose one option and delete the other]:</p> <p>[Option I: "Unit costs (hourly rates) were calculated in accordance with the Beneficiary's usual cost accounting practices"]</p> <p>[Option II: Individual hourly rates were applied]</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> o reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; o recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2. <p>II) <u>For individual hourly rates:</u></p> <p>The Auditor:</p> <ul style="list-style-type: none"> o reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates; o recalculated the hourly rates of staff included in the sample following the results of the procedures carried out in A.1 and A.2. <p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u></p> <p>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2.</p> <p><u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u></p> <p>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH</p>	<p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>30) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all activities irrespective of the source of funding.</p>	
		<p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>31) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p>	
		<p><i>For option II concerning individual hourly rates:</i></p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.	32) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.	
A.4	<p>TIME RECORDING SYSTEM</p> <p>To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records:</p> <ul style="list-style-type: none"> o description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system); o its actual implementation; o time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager; o the hours declared were worked within the project period; o there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ; 	<p>33) All persons recorded their time dedicated to the action on a daily/ weekly/ monthly basis using a paper/computer-based system. (<i>delete the answers that are not applicable</i>)</p> <p>34) Their time-records were authorised at least monthly by the project manager or other superior.</p> <p>35) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>○ the hours charged to the action matched those in the time recording system.</p> <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i></p> <p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	<p>36) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.</p> <p>37) The exclusive dedication is supported by a declaration signed by the Beneficiary's and by any other evidence gathered.</p>	
B	COSTS OF SUBCONTRACTING		
B.1	<p>The Auditor obtained the detail/breakdown of subcontracting costs and sampled cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest).</p> <p>To confirm standard factual findings 38-42 listed in the next column, the Auditor reviewed the</p>	<p>38) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>following for the items included in the sample:</p> <ul style="list-style-type: none"> the use of subcontractors was foreseen in Annex 1; subcontracting costs were declared in the subcontracting category of the Financial Statement; supporting documents on the selection and award procedure were followed; the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment). <p>In particular,</p> <ul style="list-style-type: none"> i. if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement. ii. if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> the subcontracts were not awarded to other Beneficiaries in the consortium; 	<p>39) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption "Exceptions" of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
		<p>40) The subcontracts were not awarded to other Beneficiaries of the consortium.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> there were signed agreements between the Beneficiary and the subcontractor; there was evidence that the services were provided by subcontractor; 	<p>41) All subcontracts supported by agreements between the Beneficiary and the subcontractor.</p> <p>42) There was evidence that the services were provided by the subcontractors.</p>	
C	COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES		
C.1	<p>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled [] cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is highest).</p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1; b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were 	<p>43) All minimum conditions were met</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	respected.		

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D	OTHER ACTUAL DIRECT COSTS	
D.1	<p>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</p> <p>The Auditor sampled [] cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is the highest).</p> <p>The Auditor inspected the sample and verified that:</p> <ul style="list-style-type: none"> ○ travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy; ○ travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference; ○ no ineligible costs or excessive or reckless expenditure was declared. 	<p>44) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.</p> <p>45) There was a link between the trip and the action.</p> <p>46) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.</p> <p>47) No ineligible costs or excessive or reckless expenditure was declared.</p>
D.2	<p>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</p> <p>The Auditor sampled [] cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is the highest).</p> <p>For "equipment, infrastructure or other assets" [from now on called "asset(s)"] selected in the</p>	<p>48) Procurement rules, principles and guides were followed.</p> <p>49) There was a link between the grant agreement and the asset charged to the action.</p>

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	<p>sample the Auditor verified that:</p> <ul style="list-style-type: none"> the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures; they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action) they were entered in the accounting system; the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table); <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary's country and with the Beneficiary's usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	<p>50) The asset charged to the action was traceable to the accounting records and the underlying documents.</p>	<p>51) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.</p>	<p>52) The amount charged corresponded to the actual usage for the action.</p>	<p>53) No ineligible costs or excessive or reckless expenditure were declared.</p>
<p>D.3</p>	<p>COSTS OF OTHER GOODS AND SERVICES</p> <p>The Auditor sampled [] cost items selected randomly (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 items, or 10% of the total, whichever number is highest).</p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> the contracts did not cover tasks described in Annex 1; 	<p>54) Contracts for works or services did not cover tasks described in Annex 1.</p>	<p>55) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.</p>		

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	<ul style="list-style-type: none"> ○ they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting); ○ the goods were not placed in the inventory of durable equipment; ○ the costs charged to the action were accounted in line with the Beneficiary's usual accounting practices; ○ no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA). <p>In addition, the Auditor verified that these goods and services were acquired in conformity with the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> ○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement. ○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement. <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> ○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment); <p>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE</p>	<p>56) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.</p> <p>57) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.</p> <p>58) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money. <i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the</i></p>
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	AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.		
D.4	<p>AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE</p> <p>The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020.</p> <p><i>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 59-60 on the next column),</i></p> <p>The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><i>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 61 on the next column),</i></p> <p>The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p>	<p><i>caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p> <p>59) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.</p> <p>60) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.</p> <p>61) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.</p>	

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	<p><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 61 on the next column),</i></p> <ul style="list-style-type: none"> The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations. 		
E	USE OF EXCHANGE RATES		
E.1	<p>a) For Beneficiaries with accounts established in a currency other than euros</p> <p>The Auditor sampled [] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</p> <p>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (http://ec.europa.eu/budget/contracts_grants/info_contracts/infoeuro/infoeuro_en.cfm),</p>	<p>62) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.</p>	

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	DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.		
	<p>b) For Beneficiaries with accounts established in euros</p> <p>The Auditor sampled [redacted] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement (full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</p> <p>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY’S USUAL ACCOUNTING PRACTICES.</p>	63) The Beneficiary applied its usual accounting practices.	

[legal name of the audit firm]

[name and function of an authorised representative]

[dd Month yyyy]

<Signature of the Auditor>

ANNEX 6

MODEL FOR THE CERTIFICATE ON THE METHODOLOGY

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data.

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Terms of reference for an audit engagement for a methodology certificate in connection with one or more grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme

This document sets out the ‘**Terms of Reference (ToR)**’ under which

[OPTION 1: [insert name of the beneficiary] (*‘the Beneficiary’*)] [OPTION 2: [insert name of the linked third party] (*‘the Linked Third Party’*), third party linked to the Beneficiary [insert name of the beneficiary] (*‘the Beneficiary’*)]

agrees to engage

[insert legal name of the auditor] (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the [Beneficiary’s] [Linked Third Party’s] usual accounting practices for calculating and claiming direct personnel costs declared as unit costs (*‘the Methodology’*) in connection with grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme.

The procedures to be carried out for the assessment of the methodology will be based on the grant agreement(s) detailed below:

[title and number of the grant agreement(s)] (*‘the Agreement(s)’*)

The Agreement(s) has(have) been concluded between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission (‘the Commission’)*][OPTION 2: *the European Atomic Energy Community (Euratom), represented by the European Commission (‘the Commission’)*][OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’).*].

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The *[Commission] [Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only.
The *[European Union] [Euratom] [Agency]* is not a party to this engagement.

1.1 Subject of the engagement

According to Article 18.1.2 of the Agreement, beneficiaries *[and linked third parties]* that declare direct personnel costs as unit costs calculated in accordance with their usual cost accounting practices may submit to the *[Commission] [Agency]*, for approval, a certificate on the methodology ('CoMUC') stating that there are adequate records and documentation to prove that their cost accounting practices used comply with the conditions set out in Point A of Article 6.2.

The subject of this engagement is the CoMUC which is composed of two separate documents:

- the Terms of Reference ('the ToR') to be signed by the *[Beneficiary] [Linked Third Party]* and the Auditor;
- the Auditor's Independent Report of Factual Findings ('the Report') issued on the Auditor's letterhead, dated, stamped and signed by the Auditor which includes; the standard statements ('the Statements') evaluated and signed by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') performed by the Auditor and the standard factual findings ('the Findings') assessed by the Auditor. The Statements, Procedures and Findings are summarised in the table that forms part of the Report.

The information provided through the Statements, the Procedures and the Findings will enable the Commission to draw conclusions regarding the existence of the *[Beneficiary's] [Linked Third Party's]* usual cost accounting practice and its suitability to ensure that direct personnel costs claimed on that basis comply with the provisions of the Agreement. The Commission draws its own conclusions from the Report and any additional information it may require.

1.2 Responsibilities

The parties to this agreement are the *[Beneficiary] [Linked Third Party]* and the Auditor.

The *[Beneficiary] [Linked Third Party]*:

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- is responsible for preparing financial statements for the Agreement(s) ('the Financial Statements') in compliance with those Agreements;
- is responsible for providing the Financial Statement(s) to the Auditor and enabling the Auditor to reconcile them with the [Beneficiary's] [Linked Third Party's] accounting and bookkeeping system and the underlying accounts and records. The Financial Statement(s) will be used as a basis for the procedures which the Auditor will carry out under this ToR;
- is responsible for its Methodology and liable for the accuracy of the Financial Statement(s);
- is responsible for endorsing or refuting the Statements indicated under the heading 'Statements to be made by the Beneficiary/ Linked Third Party' in the first column of the table that forms part of the Report;
- must provide the Auditor with a signed and dated representation letter;
- accepts that the ability of the Auditor to carry out the Procedures effectively depends upon the [Beneficiary] [Linked Third Party] providing full and free access to the [Beneficiary's] [Linked Third Party's] staff and to its accounting and other relevant records.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the Beneficiary's *[and Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with these ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out and the Findings to be endorsed by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement the Auditor does not provide an audit opinion or a statement of assurance.

1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with¹:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Commission requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there was no conflict of interests in establishing this Report between the Auditor and the Beneficiary [*and the Linked Third Party*] that could have a bearing on the Report, and must specify – if the service is invoiced - the total fee paid to the Auditor for providing the Report.

1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7 of the Agreement).

Under Article 22 of the Agreement, the Commission, [*the Agency*], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are claimed from [*the European Union*] [*Euratom*] budget. This includes work related to this engagement. The Auditor must provide access to all working papers related to this assignment if the Commission, [*the Agency*], the European Anti-Fraud Office or the European Court of Auditors requests them.

1.5 Timing

The Report must be provided by [dd Month yyyy].

¹ Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.

1.6 Other Terms

[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]

[legal name of the Auditor]

[legal name of the [Beneficiary] [Linked Third Party]]

[name & title of authorised representative]

[name & title of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor Signature

Signature of the [Beneficiary] [Linked Third Party]

Independent report of factual findings on the methodology concerning grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme

(To be printed on letterhead paper of the auditor)

To

[name of contact person(s)], [Position]

[[Beneficiary's] [Linked Third Party's] name]

[Address]

[dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: [insert name of the beneficiary] ('the Beneficiary')] [OPTION 2: [insert name of the linked third party] ('the Linked Third Party'), third party linked to the Beneficiary [insert name of the beneficiary] ('the Beneficiary')],

we

[name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

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have carried out the agreed-upon procedures ('the Procedures') and provide hereby our Independent Report of Factual Findings ('the Report'), concerning the [Beneficiary's] [Linked Third Party's] usual accounting practices for calculating and declaring direct personnel costs declared as unit costs ('the Methodology').

You requested certain procedures to be carried out in connection with the grant(s)

[title and number of the grant agreement(s)] ('the Agreement(s)').

The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes: the standard statements ('the Statements') made by the [Beneficiary] [Linked Third Party], the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') confirmed by us.

The engagement involved carrying out the Procedures and assessing the Findings and the documentation requested appended to this Report, the results of which the Commission uses to draw conclusions regarding the acceptability of the Methodology applied by the [Beneficiary] [Linked Third Party].

The Report covers the methodology used from [dd Month yyyy]. In the event that the [Beneficiary] [Linked Third Party] changes this methodology, the Report will not be applicable to any Financial Statement² submitted thereafter.

The scope of the Procedures and the definition of the standard statements and findings were determined solely by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence.

Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, we do not

² Financial Statement in this context refers solely to Annex 4 of the Agreement by which the Beneficiary declares costs under the Agreement.

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give a statement of assurance on the costs declared on the basis of the *[Beneficiary's] [Linked Third Party's]* Methodology. Had we carried out additional procedures or had we performed an audit or review in accordance with these standards, other matters might have come to its attention and would have been included in the Report.

Exceptions

Apart from the exceptions listed below, the *[Beneficiary] [Linked Third Party]* agreed with the standard Statements and provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and corroborate the standard Findings.

List here any exception and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, also indicate the corresponding amount.

....

Explanation of possible exceptions in the form of examples (to be removed from the Report):

- i. the [Beneficiary] [Linked Third Party] did not agree with the standard Statement number ... because...;*
- ii. the Auditor could not carry out the procedure ... established because (e.g. due to the inability to reconcile key information or the unavailability or inconsistency of data);*
- iii. the Auditor could not confirm or corroborate the standard Finding number ... because*

Remarks

We would like to add the following remarks relevant for the proper understanding of the Methodology applied by the *[Beneficiary] [Linked Third Party]* or the results reported:

Example (to be removed from the Report):

Regarding the methodology applied to calculate hourly rates ...

Regarding standard Finding 15 it has to be noted that ...

The [Beneficiary] [Linked Third Party] explained the deviation from the benchmark statement XXIV concerning time recording for personnel with no exclusive dedication to the action in the following manner:

...

Annexes

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Please provide the following documents to the auditor and annex them to the report when submitting this CoMUC to the Commission:

1. Brief description of the methodology for calculating personnel costs, productive hours and hourly rates;
2. Brief description of the time recording system in place;
3. An example of the time records used by the [Beneficiary] [Linked Third Party];
4. Description of any budgeted or estimated elements applied, together with an explanation as to why they are relevant for calculating the personnel costs and how they are based on objective and verifiable information;
5. A summary sheet with the hourly rate for direct personnel declared by the [Beneficiary] [Linked Third Party] and recalculated by the Auditor for each staff member included in the sample (the names do not need to be reported);
6. A comparative table summarising for each person selected in the sample a) the time claimed by the [Beneficiary] [Linked Third Party] in the Financial Statement(s) and b) the time according to the time record verified by the Auditor;
7. A copy of the letter of representation provided to the Auditor.

Use of this Report

This Report has been drawn up solely for the purpose given under Point 1.1 Reasons for the engagement.

The Report:

- is confidential and is intended to be submitted to the Commission by the [Beneficiary] [Linked Third Party] in connection with Article 18.1.2 of the Agreement;
- may not be used by the [Beneficiary] [Linked Third Party] or by the Commission for any other purpose, nor distributed to any other parties;
- may be disclosed by the Commission only to authorised parties, in particular the European Anti-Fraud Office (OLAF) and the European Court of Auditors.
- relates only to the usual cost accounting practices specified above and does not constitute a report on the Financial Statements of the [Beneficiary] [Linked Third Party].

No conflict of interest³ exists between the Auditor and the Beneficiary [and the Linked Third Party] that could have a bearing on the Report. The total fee paid to the Auditor for producing the Report was EUR [] (including EUR [] of deductible VAT).

³ A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;

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We look forward to discussing our Report with you and would be pleased to provide any further information or assistance which may be required.

Yours sincerely

[legal name of the Auditor]

[name and title of the authorised representative]

[dd Month yyyy]

Signature of the Auditor

-
- stands to benefit directly should the certificate be accepted;
 - has a close relationship with any person representing the beneficiary;
 - is a director, trustee or partner of the beneficiary; or
 - is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

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Statements to be made by the Beneficiary/Linked Third Party ('the Statements') and Procedures to be carried out by the Auditor ('the Procedures') and standard factual findings ('the Findings') to be confirmed by the Auditor

The Commission reserves the right to provide the auditor with guidance regarding the Statements to be made, the Procedures to be carried out or the Findings to be ascertained and the way in which to present them. The Commission reserves the right to vary the Statements, Procedures or Findings by written notification to the Beneficiary/Linked Third Party to adapt the procedures to changes in the grant agreement(s) or to any other circumstances.

If this methodology certificate relates to the Linked Third Party's usual accounting practices for calculating and claiming direct personnel costs declared as unit costs any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

<i>Please explain any discrepancies in the body of the Report.</i>	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
A. Use of the Methodology I. The cost accounting practice described below has been in use since [dd Month yyyy]. II. The next planned alteration to the methodology used by the Beneficiary will be from [dd Month yyyy].	Procedure: ✓ The Auditor checked these dates against the documentation the Beneficiary has provided. Factual finding: 1. The dates provided by the Beneficiary were consistent with the documentation.
B. Description of the Methodology III. The methodology to calculate unit costs is being used in a consistent manner and is reflected in the relevant procedures. <i>[Please describe the methodology your entity uses to calculate <u>personnel</u> costs, productive hours and hourly rates, present your description to the Auditor and annex it to this certificate]</i> <i>[If the statement of section "B. Description of the methodology" cannot be endorsed by the Beneficiary or there is no written methodology to calculate unit costs it should be listed here below and reported as exception by the Auditor in the main Report of</i>	Procedure: ✓ The Auditor reviewed the description, the relevant manuals and/or internal guidance documents describing the methodology. Factual finding: 2. The brief description was consistent with the relevant manuals, internal guidance and/or other documentary evidence the Auditor has reviewed. 3. The methodology was generally applied by the Beneficiary as part of its usual costs accounting practices.

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p><i>Factual Findings:</i></p> <p>- ...]</p>	
<p>C. Personnel costs</p> <p><u>General</u></p> <p>IV. The unit costs (hourly rates) are limited to salaries including during parental leave, social security contributions, taxes and other costs included in the remuneration required under national law and the employment contract or equivalent appointing act;</p> <p>V. Employees are hired directly by the Beneficiary in accordance with national law, and work under its sole supervision and responsibility;</p> <p>VI. The Beneficiary remunerates its employees in accordance with its usual practices. This means that personnel costs are charged in line with the Beneficiary's usual payroll policy (e.g. salary policy, overtime policy, variable pay) and no special conditions exist for employees assigned to tasks relating to the European Union or Euratom, unless explicitly provided for in the grant agreement(s);</p> <p>VII. The Beneficiary allocates its employees to the relevant group/category/cost centre for the purpose of the unit cost calculation in line with the usual cost accounting practice;</p> <p>VIII. Personnel costs are based on the payroll system and accounting system.</p> <p>IX. Any exceptional adjustments of actual personnel costs resulted from relevant budgeted or estimated elements and were based on objective and verifiable information. <i>[Please describe the 'budgeted or estimated elements' and their relevance to personnel costs, and explain how they were reasonable and based on objective and verifiable information, present your explanation to the Auditor and annex it to this certificate].</i></p> <p>X. Personnel costs claimed do not contain any of the following ineligible costs: costs related to return on capital; debt and debt service charges; provisions for future losses</p>	<p>Procedure:</p> <p><i>The Auditor draws a sample of employees to carry out the procedures indicated in this section C and the following sections D to F.</i></p> <p><i>[The Auditor has drawn a random sample of 10 full-time equivalents made up of employees assigned to the action(s). If fewer than 10 full-time equivalents are assigned to the action(s), the Auditor has selected a sample of 10 full-time equivalents consisting of all employees assigned to the action(s), complemented by other employees irrespective of their assignments.]. For this sample:</i></p> <ul style="list-style-type: none"> ✓ the Auditor reviewed all documents relating to personnel costs such as employment contracts, payslips, payroll policy (e.g. salary policy, overtime policy, variable pay policy), accounting and payroll records, applicable national tax, labour and social security law and any other documents corroborating the personnel costs claimed; ✓ in particular, the Auditor reviewed the employment contracts of the employees in the sample to verify that: <ul style="list-style-type: none"> i. they were employed directly by the Beneficiary in accordance with applicable national legislation; ii. they were working under the sole technical supervision and responsibility of the latter; iii. they were remunerated in accordance with the Beneficiary's usual practices; iv. they were allocated to the correct group/category/cost centre for the purposes of calculating the unit cost in line with the Beneficiary's usual cost accounting practices; ✓ the Auditor verified that any ineligible items or any costs claimed under other costs categories or costs covered by other types of grant or by other grants financed from the European Union budget have not been taken

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>or debts; interest owed; doubtful debts; currency exchange losses; bank costs charged by the Beneficiary's bank for transfers from the Commission/Agency; excessive or reckless expenditure; deductible VAT or costs incurred during suspension of the implementation of the action.</p> <p>XI. Personnel costs were not declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU budget and grants awarded by bodies other than the Commission/Agency for the purpose of implementing the EU budget).</p> <p><u>If additional remuneration as referred to in the grant agreement(s) is paid</u></p> <p>XII. The Beneficiary is a non-profit legal entity;</p> <p>XIII. The additional remuneration is part of the beneficiary's usual remuneration practices and paid consistently whenever the relevant work or expertise is required;</p> <p>XIV. The criteria used to calculate the additional remuneration are objective and generally applied regardless of the source of funding;</p> <p>XV. The additional remuneration included in the personnel costs used to calculate the hourly rates for the grant agreement(s) is capped at EUR 8 000 per full-time equivalent (reduced proportionately if the employee is not assigned exclusively to the action).</p> <p><u>If certain statement(s) of section "C. Personnel costs" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor in the main Report of</u></p>	<p>into account when calculating the personnel costs;</p> <ul style="list-style-type: none"> ✓ the Auditor numerically reconciled the total amount of personnel costs used to calculate the unit cost with the total amount of personnel costs recorded in the statutory accounts and the payroll system. ✓ to the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, the Auditor carefully examined those elements and checked the information source to confirm that they correspond to objective and verifiable information; ✓ if additional remuneration has been claimed, the Auditor verified that the Beneficiary was a non-profit legal entity, that the amount was capped at EUR 8000 per full-time equivalent and that it was reduced proportionately for employees not assigned exclusively to the action(s). ✓ the Auditor recalculated the personnel costs for the employees in the sample. <p>Factual finding:</p> <ol style="list-style-type: none"> 4. All the components of the remuneration that have been claimed as personnel costs are supported by underlying documentation. 5. The employees in the sample were employed directly by the Beneficiary in accordance with applicable national law and were working under its sole supervision and responsibility. 6. Their employment contracts were in line with the Beneficiary's usual policy; 7. Personnel costs were duly documented and consisted solely of salaries, social security contributions (pension contributions, health insurance, unemployment fund contributions, etc.), taxes and other statutory costs included in the remuneration (holiday pay, thirteenth month's pay, etc.); 8. The totals used to calculate the personnel unit costs are consistent with those registered in the payroll and accounting records; 9. To the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, those elements were

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p><i>Factual Findings:</i></p> <p>- ...]</p>	<p>relevant for calculating the personnel costs and correspond to objective and verifiable information. The budgeted or estimated elements used are: — (indicate the elements and their values).</p> <p>10. Personnel costs contained no ineligible elements;</p> <p>11. Specific conditions for eligibility were fulfilled when additional remuneration was paid: a) the Beneficiary is registered in the grant agreements as a non-profit legal entity; b) it was paid according to objective criteria generally applied regardless of the source of funding used and c) remuneration was capped at EUR 8000 per full-time equivalent (or up to up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>
<p>D. Productive hours</p> <p>XVI. The number of productive hours per full-time employee applied is <i>[delete as appropriate]</i>:</p> <p>A. 1720 productive hours per year for a person working full-time (corresponding pro-rata for persons not working full time).</p> <p>B. the total number of hours worked in the year by a person for the Beneficiary</p> <p>C. the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the standard annual workable hours.</p> <p><u>If method B is applied</u></p> <p>XVII. The calculation of the total number of hours worked was done as follows: annual workable hours of the person according to the employment contract, applicable labour agreement or national law plus overtime worked minus absences (such as sick leave and special leave).</p> <p>XVIII. 'Annual workable hours' are hours</p>	<p>Procedure (same sample basis as for Section C: Personnel costs):</p> <ul style="list-style-type: none"> ✓ The Auditor verified that the number of productive hours applied is in accordance with method A, B or C. ✓ The Auditor checked that the number of productive hours per full-time employee is correct and that it is reduced proportionately for employees not exclusively assigned to the action(s). ✓ If method B is applied the Auditor verified i) the manner in which the total number of hours worked was done and ii) that the contract specified the annual workable hours by inspecting all the relevant documents, national legislation, labour agreements and contracts. ✓ If method C is applied the Auditor reviewed the manner in which the standard number of working hours per year has been calculated by inspecting all the relevant documents, national legislation, labour agreements and contracts and verified that the number of productive hours per year used for these calculations was at least 90% of the standard number of working hours per year.

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>during which the personnel must be working, at the employer's disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.</p> <p>XIX. The contract (applicable collective labour agreement or national working time legislation) do specify the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>XX. The standard number of productive hours per year is that of a full-time equivalent; for employees not assigned exclusively to the action(s) this number is reduced proportionately.</p> <p>XXI. The number of productive hours per year on which the hourly rate is based i) corresponds to the Beneficiary's usual accounting practices; ii) is at least 90% of the standard number of workable (working) hours per year.</p> <p>XXII. Standard workable (working) hours are hours during which personnel are at the Beneficiary's disposal performing the duties described in the relevant employment contract, collective labour agreement or national labour legislation. The number of standard annual workable (working) hours that the Beneficiary claims is supported by labour contracts, national legislation and other documentary evidence.</p> <p><i>[If certain statement(s) of section "D. Productive hours" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>Factual finding:</p> <p><u>General</u></p> <p>12. The Beneficiary applied a number of productive hours consistent with method A, B or C detailed in the left-hand column.</p> <p>13. The number of productive hours per year per full-time employee was accurate and was proportionately reduced for employees not working full-time or exclusively for the action.</p> <p><u>If method B is applied</u></p> <p>14. The number of 'annual workable hours', overtime and absences was verifiable based on the documents provided by the Beneficiary and the calculation of the total number of hours worked was accurate.</p> <p>15. The contract specified the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>16. The calculation of the number of productive hours per year corresponded to the usual costs accounting practice of the Beneficiary.</p> <p>17. The calculation of the standard number of workable (working) hours per year was corroborated by the documents presented by the Beneficiary.</p> <p>18. The number of productive hours per year used for the calculation of the hourly rate was at least 90% of the number of workable (working) hours per year.</p>
<p>E. Hourly rates</p> <p>The hourly rates are correct because:</p> <p>XXIII. Hourly rates are correctly calculated since they result from dividing annual personnel</p>	<p>Procedure</p> <p>✓ The Auditor has obtained a list of all personnel rates calculated by the Beneficiary in accordance with the methodology used.</p> <p>✓ The Auditor has obtained a list of all the relevant employees, based on which the</p>

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Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>costs by the productive hours of a given year and group (e.g. staff category or department or cost centre depending on the methodology applied) and they are in line with the statements made in section C. and D. above.</p> <p><i>[If the statement of section 'E. Hourly rates' cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rate(s) are calculated.</p> <p>For 10 full-time equivalent employees selected at random (same sample basis as Section C: Personnel costs):</p> <ul style="list-style-type: none"> ✓ The Auditor recalculated the hourly rates. ✓ The Auditor verified that the methodology applied corresponds to the usual accounting practices of the organisation and is applied consistently for all activities of the organisation on the basis of objective criteria irrespective of the source of funding. <p>Factual finding:</p> <p>19. No differences arose from the recalculation of the hourly rate for the employees included in the sample.</p>
<p>F. Time recording</p> <p>XXIV. Time recording is in place for all persons with no exclusive dedication to one Horizon 2020 action. At least all hours worked in connection with the grant agreement(s) are registered on a daily/weekly/monthly basis <i>[delete as appropriate]</i> using a paper/computer-based system <i>[delete as appropriate]</i>;</p> <p>XXV. For persons exclusively assigned to one Horizon 2020 activity the Beneficiary has either signed a declaration to that effect or has put arrangements in place to record their working time;</p> <p>XXVI. Records of time worked have been signed by the person concerned (on paper or electronically) and approved by the action manager or line manager at least monthly;</p> <p>XXVII. Measures are in place to prevent staff from:</p> <ul style="list-style-type: none"> i. recording the same hours twice, ii. recording working hours during absence periods (e.g. holidays, sick leave), iii. recording more than the number of productive hours per year used to calculate the hourly rates, and 	<p>Procedure</p> <ul style="list-style-type: none"> ✓ The Auditor reviewed the brief description, all relevant manuals and/or internal guidance describing the methodology used to record time. <p>The Auditor reviewed the time records of the random sample of 10 full-time equivalents referred to under Section C: Personnel costs, and verified in particular:</p> <ul style="list-style-type: none"> ✓ that time records were available for all persons with not exclusive assignment to the action; ✓ that time records were available for persons working exclusively for a Horizon 2020 action, or, alternatively, that a declaration signed by the Beneficiary was available for them certifying that they were working exclusively for a Horizon 2020 action; ✓ that time records were signed and approved in due time and that all minimum requirements were fulfilled; ✓ that the persons worked for the action in the periods claimed; ✓ that no more hours were claimed than the productive hours used to calculate the hourly

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Please explain any discrepancies in the body of the Report.	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
<p>iv. recording hours worked outside the action period.</p> <p>XXVIII. No working time was recorded outside the action period;</p> <p>XXIX. No more hours were claimed than the productive hours used to calculate the hourly personnel rates.</p> <p><i>[Please provide a brief description of the <u>time recording system</u> in place together with the measures applied to ensure its reliability to the Auditor and annex it to the present certificate⁴].</i></p> <p><i>[If certain statement(s) of section “F. Time recording” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rates;</p> <ul style="list-style-type: none"> ✓ that internal controls were in place to prevent that time is recorded twice, during absences for holidays or sick leave; that more hours are claimed per person per year for Horizon 2020 actions than the number of productive hours per year used to calculate the hourly rates; that working time is recorded outside the action period; ✓ the Auditor cross-checked the information with human-resources records to verify consistency and to ensure that the internal controls have been effective. In addition, the Auditor has verified that no more hours were charged to Horizon 2020 actions per person per year than the number of productive hours per year used to calculate the hourly rates, and verified that no time worked outside the action period was charged to the action. <p>Factual finding:</p> <p>20. The brief description, manuals and/or internal guidance on time recording provided by the Beneficiary were consistent with management reports/records and other documents reviewed and were generally applied by the Beneficiary to produce the financial statements.</p> <p>21. For the random sample time was recorded or, in the case of employees working exclusively for the action, either a signed declaration or time records were available;</p> <p>22. For the random sample the time records were signed by the employee and the action manager/line manager, at least monthly.</p> <p>23. Working time claimed for the action occurred in the periods claimed;</p> <p>24. No more hours were claimed than the number productive hours used to calculate the hourly</p>

⁴ The description of the time recording system must state among others information on the content of the time records, its coverage (full or action time-recording, for all personnel or only for personnel involved in H2020 actions), its degree of detail (whether there is a reference to the particular tasks accomplished), its form, periodicity of the time registration and authorisation (paper or a computer-based system; on a daily, weekly or monthly basis; signed and countersigned by whom), controls applied to prevent double-charging of time or ensure consistency with HR-records such as absences and travels as well as its information flow up to its use for the preparation of the Financial Statements.

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<i>Please explain any discrepancies in the body of the Report.</i>	
Statements to be made by Beneficiary	Procedures to be carried out and Findings to be confirmed by the Auditor
	<p>personnel rates;</p> <p>25. There is proof that the Beneficiary has checked that working time has not been claimed twice, that it is consistent with absence records and the number of productive hours per year, and that no working time has been claimed outside the action period.</p> <p>26. Working time claimed is consistent with that on record at the human-resources department.</p>

[official name of the [Beneficiary] [Linked Third Party]]

[official name of the Auditor]

[name and title of authorised representative]

[name and title of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

<Signature of the [Beneficiary] [Linked Third Party]>

<Signature of the Auditor>



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EUROPEAN COMMISSION
DIRECTORATE-GENERAL FOR MOBILITY and TRANSPORT
Directorate B - Investment, Innovative & Sustainable Transport
Unit B.4 - Sustainable & Intelligent Transport

SERVICE CONTRACT

NUMBER – MOVE/B4/SER/2017-358/SI2.770605

1. The European Union ('the Union'), represented by the European Commission ('the contracting authority') represented for the purposes of signing this contract by Mr Herald Ruijters, Director in the Directorate-General for Mobility and Transport, Directorate B – Investment, Innovative & Sustainable Transport

on the one part, and

2.

Rupprecht Consult

Legal Status: GmbH

Registration Number HRB30833

Address of the registered office: Clever Strasse 13-15, 50668 Koeln, Germany

VAT Number: DE198534371

appointed as the leader of the group by the members of the group that submitted the joint tender

Transport & Mobility Leuven

Legal Status: NV

Registration Number: 0476.966.024

Address of the registered office: Diestsesteenweg 57, 3010 Leuven, Belgium

VAT Number: BE 0476.966.024

TRT Trasporti e territorio

Legal Status: SRL

Registration Number 08578370150

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EUROCITIES

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Registration Number 0447820987

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POLIS

Legal Status: AISBL

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Address of the registered office: Rue du Trône 98, 1050 Brussels, Belgium

VAT Number: BE0460.400.701

Union internationale des transports publics (UITP)

Legal Status: A.I.S.B.L (NGO, no profit)

Registration Number 0544.198.506

Address of the registered office: Rue Pierre Mattheussens 8, 1140 Brussels, Belgium

VAT Number: BE0544.198.506

(collectively 'the contractor'), represented for the purposes of the signature of this contract by Siegfried Rupprecht, Director of Rupprecht Consult,

on the other part,

HAVE AGREED

to the **special conditions**, the **general conditions for service contracts** and the following annexes:

Annex I – Tender specifications (reference No MOVE/B4/2017-358 of 19/05/2017)

Annex II – Contractor's tender (reference No MOVE/B4/2017-358 of 21/07/2017)

which form an integral part of this contract ('the contract').

This contract sets out the obligations of the parties during and after the duration of this contract.

All documents issued by the contractor (end-user agreements, general terms and conditions, etc.) except its tender are held inapplicable, unless explicitly mentioned in the special conditions of this contract. In all circumstances, in the event of contradiction between this contract and documents issued by the contractor, this contract prevails, regardless of any provision to the contrary in the contractor's documents.

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I. SPECIAL CONDITIONS

I.1 ORDER OF PRIORITY OF PROVISIONS

If there is any conflict between different provisions in this contract, the following rules must be applied:

- (a) The provisions set out in the special conditions take precedence over those in the other parts of the contract.
- (b) The provisions set out in the general conditions take precedence over those in the other annexes.
- (c) The provisions set out in the tender specifications (Annex I) take precedence over those in the tender (Annex II).

I.2 SUBJECT MATTER

The subject matter of the contract is to support the Commission in defining comparable indicators in order to prepare an EU urban mobility scoreboard and extrapolate the data from the participating cities in showing the path to reaching the 2011 Transport White Paper goals related to urban mobility.

I.3 ENTRY INTO FORCE AND DURATION

- I.3.1** The contract enters into force on the date on which the last party signs it.
- I.3.2** The *performance of the contract* cannot start before its entry into force.
- I.3.3** The duration of the *performance of the contract* must not exceed 24 months. *Performance of the contract* starts from the date of entry into force of the contract.

The period of *performance of the contract* may be extended only with the express written agreement of the parties before the expiration of such period.

I.4 PRICE

I.4.1 Price of the contract and maximum amount

The price payable under this contract, excluding renewals and including the reimbursement of expenses set out in Article I.4.3, is EUR 1,541,571.00 (one million five hundred and forty-one thousand five hundred and seventy-one).

I.4.2 Price revision index

Price revision is not applicable to this contract.

I.4.3 Reimbursement of expenses

The contractor may claim, in accordance with Article II.22, the expenses for services actually rendered by WBCSD as provided for in the tender specifications.

These expenses may not exceed a total of 210 person-hours for a price of € 85 per person-hour, or a total of € 17.850 for the whole duration of the contract including renewals.

Reimbursement of these expenses will be done on the basis of supporting documents (invoices by WBCSD).

I.5 PAYMENT ARRANGEMENTS

I.5.1 Pre-financing

Following signature of the contract by the last party and its receipt by the contracting authority, the contractor (or leader in the case of a joint tender) may claim a pre-financing payment of 25 % of the price referred to in Article I.4.1. The contractor (or leader in the case of a joint tender) must send the contracting authority an invoice in paper format for the pre-financing payment.

The contractor must also provide a financial guarantee equal to 25% of the total price of the contract.

The contracting authority must pay the pre-financing within 30 days of receiving the invoice provided it has received the guarantee.

I.5.2 Interim payments

1 (a). The contractor (or leader in the case of a joint tender) may claim an interim payment equal to 25% of the price referred to in Article I.4.1 in accordance with Article II.21.6.

The contractor must send an invoice in paper format for the interim payment as provided for in the tender specifications, accompanied by the following:

- (a) a list of all *pre-existing rights* to the *results* or parts of the *results* or a declaration stating that there are no such *pre-existing rights*, as provided for in Article II.13.4;
- (b) the Final Interim Report.

2. The contracting authority must approve any submitted documents or deliverables and pay within 60 days from receipt of the invoice.

3. If the contracting authority has observations to make, it must send them to the contractor (or leader in the case of a joint tender) and suspend the time limit for payment in accordance with Article II.21.7. The contractor (or leader in case of a joint tender) has 15 days to submit additional information or corrections or a new version of the documents if the contracting authority requires it.

4. The contracting authority must give its approval and pay within the remainder of the time-limit indicated in point (2) unless it rejects partially or fully the submitted documents or deliverables.

I.5.3 Payment of the balance

1. The contractor (or leader in the case of a joint tender) may claim the payment of the balance in accordance with Article II.21.6.

The contractor (or leader in the case of a joint tender) must send an invoice in paper format for payment of the balance due under the contract, as provided for in the tender specifications and accompanied by the following:

- (a) a list of all *pre-existing rights* to the *results* or parts of the *results* or a declaration stating that there are no such *pre-existing rights*, as provided for in Article II.13.4;
- (b) the Final Report.

2. The contracting authority must approve the submitted documents or deliverables and pay within 60 days from receipt of the invoice.

3. If the contracting authority has observations to make, it must send them to the contractor (or leader in the case of a joint tender) and suspend the time limit for payment in accordance with Article II.21.7.

The contractor (or leader in the case of a joint tender) has 15 days to submit additional information or corrections or a new version of the documents if the contracting authority requires it.

4. The contracting authority must give its approval and pay within the remainder of the time-limit indicated in point (2.) unless it rejects partially or fully the submitted documents or deliverables.

I.6 GUARANTEES

Guarantees are not applicable to this contract.

I.7 BANK ACCOUNT

Payments must be made to the contractor's (or leader's in the case of a joint tender) bank account denominated in EUR, identified as follows:

Name of bank: Sparkasse KölnBonn

Full address of branch: Hahnenstrasse 57, Koeln 50667 Germany

Exact denomination of account holder: Rupprecht Consult GmbH, Clever Strasse 13-15, Koeln 50668, Germany

Full account number including bank codes: IBAN code: DE36370501980043032168

I.8 COMMUNICATION DETAILS

For the purpose of this contract, communication must be sent to the following addresses:

Contracting authority:

European Commission

Directorate-General for Mobility and Transport

Directorate B - Investment, Innovative & Sustainable Transport

Unit B4 - Sustainable & Intelligent Transport

DM 28, 6/109

B-1049 Bruxelles

E-mail: MOVE-TENDER-B4@ec.europa.eu

Invoices must be sent by post to:
European Commission
Directorate-General for Mobility and Transport
Unit SRD.3 - Financial management
DM 24, 1/60
B-1049 Brussels (Belgium)

Communication related to financial matters must be sent to:

E-mail: MOVE-ENER-FINANCES@ec.europa.eu

Cc: MOVE-TENDER-B4@ec.europa.eu

Leader of the joint tender:

Siegfried Rupprecht

Director

Rupprecht Consult

Clever Strasse 13-15, 50668 Koeln, Germany

E-mail: s.rupprecht@rupprecht-consult.eu

I.9 DATA CONTROLLER

For the purpose of Article II.9, the data controller is the Director of the Shared Resource Directorate of Directorate-General for Mobility and Transport/Directorate-General for Energy.

I.10 EXPLOITATION OF THE RESULTS OF THE CONTRACT

I.10.1 Detailed list of modes of exploitation of the results

In accordance with Article II.13.1 whereby the Union acquires ownership of the *results* as defined in this contract, including the tender specifications, these *results* may be used for any of the following modes of exploitation:

- (a) use for its own purposes:
 - making available to the staff of the contracting authority;
 - making available to the persons and entities working for the contracting authority or cooperating with it, including contractors, subcontractors whether legal or natural persons, Union institutions, agencies and bodies, Member States' institutions;
 - installing, uploading, processing;
 - arranging, compiling, combining, retrieving;
 - copying, reproducing in whole or in part and in unlimited number of copies.
- (b) distribution to the public in hard copies, in electronic or digital format, on the internet including social networks as a downloadable or non-downloadable file;
- (c) communication through press information services;

(d) inclusion in widely accessible databases or indexes, such as via 'open access' or 'open data' portals, or similar repositories, whether freely accessible or accessible only upon subscription;

(e) modifications by the contracting authority or by a third party in the name of the contracting authority, including:

- shortening;
- summarising;
- modifying the content, the dimensions;
- making technical changes to the content (necessary correction of technical errors), adding new parts or functionalities, changing functionalities, providing third parties with additional information concerning the result (e.g. source code) with a view to making modifications;
- addition of new elements, paragraphs, titles, leads, bolds, legend, table of content, summary, graphics, subtitles, sound;
- addition of metadata, for text and data-mining purposes; addition of right-management information; addition of technological protection measures;
- preparation in audio form, preparation as a presentation, animation, pictograms story, slide-show, public presentation;
- extracting a part or dividing into parts;
- translating, inserting subtitles, dubbing in different language versions:

English, French, German;

all official languages of EU;

languages used within EU;

languages of candidate countries;

(f) rights to authorise, license, or sub-license in case of licensed *pre-existing rights*, the modes of exploitation set out in any of the points (a) to (e) to third parties.

(g) other adaptations which the parties may later agree; in such case, the following rules apply: the contracting authority must consult the contractor. If necessary, the contractor must in turn seek the agreement of any *creator* or other right holder and must reply to the contracting authority within one month by providing its agreement, including any suggestions of modifications, free of charge. The contractor may refuse the intended modification only if a *creator* can demonstrate that the intended modification may harm his/her honour or reputation, thereby violating his/her moral rights.

I.10.2 Licence or transfer of pre-existing rights

All *pre-existing rights* incorporated in the *results*, if any, are licensed to the Union as set out in Article II.13.2.

I.10.3 Provision of list of pre-existing rights and documentary evidence

The contractor must provide the contracting authority with a list of *pre-existing rights* as set out in Article II.13.4 together with the invoice for payment of the balance at the latest.

I.11 TERMINATION BY EITHER PARTY

Either party may, terminate the contract by sending *formal notification* to the other party with one month written notice.

If the contract is terminated:

- (a) neither party is entitled to compensation;
- (b) the contractor is entitled to payment only for the services provided before termination takes effect.

The second, third and fourth paragraphs of Article II.18.4 apply.

I.12 APPLICABLE LAW AND SETTLEMENT OF DISPUTES

I.12.1. The contract is governed by Union law, complemented, where necessary, by the law of Belgium.

I.12.2. The courts of Brussels have exclusive jurisdiction over any dispute regarding the interpretation, application or validity of the contract.

SIGNATURES

For the contractor, Rupprecht Consult

Siegfried Rupprecht, Director

Signature:

Done at, *date*

In duplicate in English

For the contracting authority,

Herald Ruijters, Director

Signature:

Done at Brussels, *date* **12 DEC. 2017**

II. GENERAL CONDITIONS FOR THE SERVICE CONTRACT

II.1 DEFINITIONS

For the purpose of this contract, the following definitions (indicated in *italics* in the text) apply:

‘Back office’: the internal system(s) used by the parties to process electronic invoices;

‘Confidential information or document’: any information or document received by either party from the other or accessed by either party in the context of the *performance of the contract*, that any of the parties has identified in writing as confidential. It may not include information that is publicly available;

‘Conflict of interest’: a situation where the impartial and objective *performance of the contract* by the contractor is compromised for reasons involving family, emotional life, political or national affinity, economic interest, or any other shared interest with the contracting authority or any third party related to the subject matter of the contract;

‘Creator’: means any natural person who contributes to the production of the *result*;

‘EDI message’ (electronic data interchange): a message created and exchanged through the electronic transfer, from computer to computer, of commercial and administrative data using an agreed standard;

‘e-PRIOR’: the service-oriented communication platform that provides a series of web services and allows the exchange of standardised electronic messages and documents between the parties. This is done either through web services, with a machine-to-machine connection between the parties’ *back office* systems (*EDI messages*), or through a web application (the *supplier portal*). The Platform may be used to exchange electronic documents (e-documents) such as electronic requests for services, electronic specific contracts, and electronic acceptance of services or electronic invoices between the parties. Technical specifications (i.e. the *interface control document*), details on access and user manuals are available at the following website:

http://ec.europa.eu/dgs/informatics/supplier_portal/documentation/documentation_en.htm

‘Force majeure’: any unforeseeable, exceptional situation or event beyond the control of the parties that prevents either of them from fulfilling any of their obligations under the contract. The situation or event must not be attributable to error or negligence on the part of the parties or on the part of the subcontractors and must prove to be inevitable despite their exercising due diligence. Defaults of service, defects in equipment or material or delays in making them available, labour disputes, strikes and financial difficulties may not be invoked as *force majeure*, unless they stem directly from a relevant case of *force majeure*;

‘Formal notification’ (or ‘formally notify’): form of communication between the parties made in writing by mail or email, which provides the sender with compelling evidence that the message was delivered to the specified recipient;

‘Fraud’: any intentional act or omission affecting the Union’s financial interests relating to the use or presentation of false, incorrect or incomplete statements or documents or to non-disclosure of information in violation of a specific obligation;

‘Interface control document’: the guideline document which lays down the technical specifications, message standards, security standards, checks of syntax and semantics, etc. to facilitate machine-to-machine connection. This document is updated on a regular basis;

‘Irregularity’: any infringement of a provision of Union law resulting from an act or omission by an economic operator, which has, or would have, the effect of prejudicing the Union’s budget.

‘Notification’ (or ‘notify’): form of communication between the parties made in writing including by electronic means;

‘Performance of the contract’: the execution of tasks and delivery of the purchased services by the contractor to the contracting authority;

‘Personnel’: persons employed directly or indirectly or contracted by the contractor to perform the contract;

‘Pre-existing material’: any material, document, technology or know-how which exists prior to the contractor using it for the production of a *result* in the *performance of the contract*;

‘Pre-existing right’: any industrial and intellectual property right on *pre-existing material*; it may consist in a right of ownership, a licence right and/or right of use belonging to the contractor, the *creator*, the contracting authority as well as to any other third parties;

‘Professional conflicting interest’: a situation in which the contractor’s previous or ongoing professional activities affect its capacity to perform the contract to an appropriate quality standard.

‘Related person’: any person who has the power to represent the contractor or to take decisions on its behalf;

‘Result’: any intended outcome of *the performance of the contract*, whatever its form or nature, which is delivered and finally or partially approved by the contracting authority. A *result* may be further defined in this contract as a deliverable. A *result* may, in addition to materials produced by the contractor or at its request, also include *pre-existing materials*;

‘Substantial error’: any infringement of a contract provision resulting from an act or omission, which causes or might cause a loss to the Union’s budget.

‘Supplier portal’: the *e-PRIOR* portal, which allows the contractor to exchange electronic business documents, such as invoices, through a graphical user interface; its main features can be found in the supplier portal overview document available on: http://ec.europa.eu/dgs/informatics/supplier_portal/doc/um_supplier_portal_overview.pdf

II.2 ROLES AND RESPONSIBILITIES IN THE EVENT OF A JOINT TENDER

In the event of a joint tender submitted by a group of economic operators and where the group does not have legal personality or legal capacity, one member of the group is appointed as leader of the group.

II.3 SEVERABILITY

Each provision of this contract is severable and distinct from the others. If a provision is or becomes illegal, invalid or unenforceable to any extent, it must be severed from the remainder of the contract. This does not affect the legality, validity or enforceability of any other provisions of the contract, which continue in full force and effect. The illegal, invalid or unenforceable provision must be replaced by a legal, valid and enforceable substitute provision which corresponds as closely as possible with the actual intent of the parties under the illegal, invalid or unenforceable provision. The replacement of such a provision must be made in accordance with Article II.11. The contract must be interpreted as if it had contained the substitute provision as from its entry into force.

II.4 PERFORMANCE OF THE CONTRACT

- II.4.1 The contractor must provide services of high quality standards, in accordance with the state of the art in the industry and the provisions of this contract, in particular the tender specifications and the terms of its tender.
- II.4.2 The contractor must comply with the minimum requirements provided for in the tender specifications. This includes compliance with applicable obligations under environmental, social and labour law established by Union law, national law and collective agreements or by the international environmental, social and labour law provisions listed in Annex X to Directive 2014/24/EU¹.
- II.4.3 The contractor must obtain any permit or licence required in the State where the services are to be provided.
- II.4.4 All periods specified in the contract are calculated in calendar days, unless otherwise specified.
- II.4.5 The contractor must not present itself as a representative of the contracting authority and must inform third parties that it is not part of the European public service.
- II.4.6 The contractor is responsible for the *personnel* who carry out the services and exercises its authority over its *personnel* without interference by the contracting authority. The contractor must inform its *personnel* that:
 - (a) they may not accept any direct instructions from the contracting authority; and
 - (b) their participation in providing the services does not result in any employment or contractual relationship with the contracting authority.

¹ OJ L 94 of 28.03.2014, p. 65

II.4.7 The contractor must ensure that the *personnel* performing the contract and any future replacement *personnel* possess the professional qualifications and experience required to provide the services, as the case may be on the basis of the selection criteria set out in the tender specifications.

II.4.8 At the contracting authority's reasoned request, the contractor must replace any member of *personnel* who:

- (a) does not have the expertise required to provide the services; or
- (b) has caused disruption at the premises of the contracting authority.

The contractor bears the cost of replacing its *personnel* and is responsible for any delay in providing the services resulting from the replacement of *personnel*.

II.4.9 The contractor must record and report to the contracting authority any problem that affects its ability to provide the services. The report must describe the problem, state when it started and what action the contractor is taking to resolve it.

II.5 COMMUNICATION BETWEEN THE PARTIES

II.5.1 Form and means of communication

Any communication of information, notices or documents under the contract must:

- (a) be made in writing in paper or electronic format in the language of the contract;
- (b) bear the contract number;
- (c) be made using the relevant communication details set out in Article I.8; and
- (d) be sent by mail, email or, for the documents specified in the special conditions, via *e-PRIOR*.

If a party requests written confirmation of an e-mail within a reasonable time, the other party must provide an original signed paper version of the communication as soon as possible.

The parties agree that any communication made by email has full legal effect and is admissible as evidence in judicial proceedings.

II.5.2 Date of communications by mail and email

Any communication is deemed to have been made when the receiving party receives it, unless this contract refers to the date when the communication was sent.

E-mail is deemed to have been received by the receiving party on the day of dispatch of that e-mail, provided that it is sent to the e-mail address indicated in Article I.8. The sending party must be able to prove the date of dispatch. In the event that the sending party receives a non-delivery report, it must make every effort to ensure that the other party actually receives the communication by email or mail. In such a case, the sending party is not held in breach of its obligation to send such communication within a specified deadline.

Mail sent to the contracting authority is deemed to have been received by the contracting authority on the date on which the department responsible referred to in Article I.8 registers it.

Formal notifications are considered to have been received by the receiving party on the date of receipt indicated in the proof received by the sending party that the message was delivered to the specified recipient.

II.5.3 Submission of e-documents via e-PRIOR

If provided for in the special conditions, the exchange of electronic documents (e-documents) such as invoices between the parties is automated through the use of the *e-PRIOR* platform. This platform provides two possibilities for such exchanges: either through web services (machine-to-machine connection) or through a web application (the *supplier portal*).

The contracting authority takes the necessary measures to implement and maintain electronic systems that enable the *supplier portal* to be used effectively.

In the case of machine-to-machine connection, a direct connection is established between the parties' *back offices*. In this case, the parties take the measures necessary on their side to implement and maintain electronic systems that enable the machine-to-machine connection to be used effectively. The electronic systems are specified in the *interface control document*. The contractor (or leader in the case of a joint tender) must take the necessary technical measures to set up a machine-to-machine connection and at its own cost.

If communication via the *supplier portal* or via the web services (machine-to-machine connection) is hindered by factors beyond the control of one party, it must *notify* the other immediately and the parties must take the necessary measures to restore this communication.

If it is impossible to restore the communication within two working days, one party must *notify* the other that alternative means of communication specified in Article II.5.1 will be used until the *supplier portal* or the machine-to-machine connection is restored.

When a change in the *interface control document* requires adaptations, the contractor (or leader in the case of a joint tender) has up to six months from receipt of the *notification* to implement this change. This period can be shortened by mutual agreement of the parties. This period does not apply to urgent measures required by the security policy of the contracting authority to ensure integrity, confidentiality and non-repudiation of information and the availability of *e-PRIOR*, which must be applied immediately.

II.5.4 Validity and date of e-documents

The parties agree that any e-document, including related attachments exchanged via *e-PRIOR*:

- (a) is considered as equivalent to a paper document;
- (b) is deemed to be the original of the document;

- (c) is legally binding on the parties once an *e-PRIOR* authorised person has performed the 'sign' action in *e-PRIOR* and has full legal effect; and
- (d) constitutes evidence of the information contained in it and is admissible as evidence in judicial proceedings.

The parties expressly waive any rights to contest the validity of such a document solely on the grounds that communications between the parties occurred through *e-PRIOR* or that the document has been signed through *e-PRIOR*. If a direct connection is established between the parties' *back offices* to allow electronic transfer of documents, the parties agree that an e-document, sent as mentioned in the *interface control document*, qualifies as an *EDI message*.

If the e-document is dispatched through the *supplier portal*, it is deemed to have been legally issued or sent when the contractor (or leader in the case of a joint tender) is able to successfully submit the e-document without any error messages. The generated PDF and XML document for the e-document are considered as a proof of receipt by the contracting authority.

In the event that an e-document is dispatched using a direct connection established between the parties' *back offices*, the e-document is deemed to have been legally issued or sent when its status is 'received' as defined in the *interface control document*.

When using the *supplier portal*, the contractor (or leader in the case of a joint tender) can download the PDF or XML message for each e-document for one year after submission. After this period, copies of the e-documents are no longer available for automatic download from the *supplier portal*.

II.5.5 Authorised persons in e-PRIOR

The contractor submits a request for each person who needs to be assigned the role of 'user' in *e-PRIOR*. These persons are identified by means of the European Communication Authentication Service (ECAS) and authorised to access and perform actions in *e-PRIOR* within the permissions of the user roles that the contracting authority has assigned to them.

User roles enabling these *e-PRIOR* authorised persons to sign legally binding documents such as specific tenders or specific contracts are granted only upon submission of supporting documents proving that the authorised person is empowered to act as a legal representative of the contractor.

II.6 LIABILITY

II.6.1 The contracting authority is not liable for any damage or loss caused by the contractor, including any damage or loss to third parties during or as a consequence of *performance of the contract*.

II.6.2 If required by the relevant applicable legislation, the contractor must take out an insurance policy against risks and damage or loss relating to the *performance of the contract*. It must also take out supplementary insurance as reasonably required by

standard practice in the industry. Upon request, the contractor must provide evidence of insurance coverage to the contracting authority.

- II.6.3** The contractor is liable for any loss or damage caused to the contracting authority during or as a consequence of *performance of the contract*, including in the event of subcontracting, but only up to an amount not exceeding three times the total amount of the contract. However, if the damage or loss is caused by the gross negligence or wilful misconduct of the contractor or of its *personnel* or subcontractors, the contractor is liable for the whole amount of the damage or loss.
- II.6.4** If a third party brings any action against the contracting authority in connection with the *performance of the contract*, including any action for alleged breach of intellectual property rights, the contractor must assist the contracting authority in the legal proceedings, including by intervening in support of the contracting authority upon request. If the contracting authority's liability towards the third party is established and that such liability is caused by the contractor during or as a consequence of the *performance of the contract*, Article II.6.3 applies.
- II.6.5** If the contractor is composed of two or more economic operators (i.e. who submitted a joint tender), they are all jointly and severally liable to the contracting authority for the *performance of the contract*.
- II.6.6** The contracting authority is not liable for any loss or damage caused to the contractor during or as a consequence of *performance of the contract*, unless the loss or damage was caused by wilful misconduct or gross negligence of the contracting authority.

II.7 CONFLICT OF INTEREST AND PROFESSIONAL CONFLICTING INTERESTS

- II.7.1** The contractor must take all the necessary measures to prevent any situation of *conflict of interest* or *professional conflicting interest*.
- II.7.2** The contractor must *notify* the contracting authority in writing as soon as possible of any situation that could constitute a *conflict of interest* or a *professional conflicting interest* during the *performance of the contract*. The contractor must immediately take action to rectify the situation.

The contracting authority may do any of the following:

- (a) verify that the contractor's action is appropriate;
 - (b) require the contractor to take further action within a specified deadline;
- II.7.3** The contractor must pass on all the relevant obligations in writing to:
- (a) its *personnel*;
 - (b) any natural person with the power to represent it or take decisions on its behalf;
 - (c) third parties involved in the *performance of the contract*, including subcontractors.

The contractor must also ensure that the persons referred to above are not placed in a situation which could give rise to conflicts of interest.

II.8 CONFIDENTIALITY

II.8.1 The contracting authority and the contractor must treat with confidentiality any information or documents, in any format, disclosed in writing or orally relating to the *performance of the contract* and identified in writing as confidential.

II.8.2 Each party must:

- (a) not use *confidential information or documents* for any purpose other than to perform its obligations under the contract without the prior written agreement of the other party;
- (b) ensure the protection of such *confidential information or documents* with the same level of protection as its own *confidential information* and in any case with due diligence;
- (c) not disclose, directly or indirectly, *confidential information or documents* to third parties without the prior written agreement of the other party.

II.8.3 The confidentiality obligations set out in this Article are binding on the contracting authority and the contractor during the *performance of the contract* and for as long as the information or documents remain confidential unless:

- (a) the disclosing party agrees to release the receiving party from the confidentiality obligation earlier;
- (b) the *confidential information or documents* become public through other means than a breach of the confidentiality obligation;
- (c) the applicable law requires the disclosure of the *confidential information or documents*.

II.8.4 The contractor must obtain from any natural person with the power to represent it or take decisions on its behalf, as well as from third parties involved in the *performance of the contract*, a commitment that they will comply with this Article. At the request of the contracting authority, the contractor must provide a document providing evidence of this commitment.

II.9 PROCESSING OF PERSONAL DATA

II.9.1 Any personal data included in the contract must be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Such data must be processed by the data controller solely for the purposes of the performance, management and monitoring of the contract. This does not affect its possible transmission to bodies entrusted with monitoring or inspection tasks in application of Union law.

- II.9.2** The contractor has the right to access its personal data and the right to rectify any such data. The contractor should address any queries concerning the processing of its personal data to the data controller.
- II.9.3** The contractor has right of recourse at any time to the European Data Protection Supervisor.
- II.9.4** If the contract requires the contractor to process any personal data, the contractor may act only under the supervision of the data controller, in particular with regard to the purposes of the processing, the categories of data that may be processed, the recipients of the data and the means by which the data subject may exercise its rights
- II.9.5** The contractor must grant *personnel* access to the data to the extent strictly necessary for the performance, management and monitoring of the contract.
- II.9.6** The contractor must adopt appropriate technical and organisational security measures giving due regard to the risks inherent in the processing and to the nature of the personal data concerned in order to:
- (a) prevent any unauthorised person from gaining access to computer systems processing personal data, and especially:
 - (i) unauthorised reading, copying, alteration or removal of storage media;
 - (ii) unauthorised data inputting, as well as any unauthorised disclosure, alteration or erasure of stored personal data;
 - (iii) unauthorised use of data-processing systems by means of data transmission facilities;
 - (b) ensure that authorised users of a data-processing system can access only the personal data to which their access right refers;
 - (c) record which personal data have been communicated, when and to whom;
 - (d) ensure that personal data being processed on behalf of third parties can be processed only in the manner prescribed by the contracting authority;
 - (e) ensure that, during communication of personal data and transport of storage media, the data cannot be read, copied or erased without authorisation;
 - (f) design its organisational structure in such a way that it meets data protection requirements.

II.10 SUBCONTRACTING

- II.10.1** The contractor must not subcontract and have the contract performed by third parties beyond the third parties already mentioned in its tender without prior written authorisation from the contracting authority.

II.10.2 Even if the contracting authority authorises subcontracting, the contractor remains bound by its contractual obligations and is solely responsible for the *performance of this contract*.

II.10.3 The contractor must ensure that the subcontract does not affect the rights of the contracting authority under this contract, particularly those under Articles II.8, II.13 and II.24.

II.10.4 The contracting authority may request the contractor to replace a subcontractor found to be in a situation provided for in points (d) and (e) of Article II.18.1.

II.11 AMENDMENTS

II.11.1 Any amendment to the contract must be made in writing before all contractual obligations have been fulfilled.

II.11.2 Any amendment must not make changes to the contract that might alter the initial conditions of the procurement procedure or result in unequal treatment of tenderers.

II.12 ASSIGNMENT

II.12.1 The contractor must not assign the rights and obligations arising from the contract, including claims for payments or factoring, without prior written authorisation from the contracting authority. In such cases, the contractor must provide the contracting authority with the identity of the intended assignee.

II.12.2 Any right or obligation assigned by the contractor without authorisation is not enforceable against the contracting authority.

II.13 INTELLECTUAL PROPERTY RIGHTS

II.13.1 Ownership of the rights in the results

The Union acquires irrevocably worldwide ownership of the *results* and of all intellectual property rights under the contract. The intellectual property rights so acquired include any rights, such as copyright and other intellectual or industrial property rights, to any of the *results* and to all technological solutions and information created or produced by the contractor or by its subcontractor in *performance of the contract*. The contracting authority may exploit and use the acquired rights as stipulated in this contract. The Union acquires all the rights from the moment the contracting authority approves the *results* delivered by the contractor. Such delivery and approval are deemed to constitute an effective assignment of rights from the contractor to the Union.

The payment of the price includes any fees payable to the contractor about the acquisition of ownership of rights by the Union including for all forms of exploitation and of use of the *results*.

II.13.2 Licensing rights on pre-existing materials

Unless provided otherwise in the special conditions, the Union does not acquire ownership of *pre-existing rights* under this contract.

The contractor licenses the *pre-existing rights* on a royalty-free, non-exclusive and irrevocable basis to the Union, which may use the *pre-existing materials* for all the modes of exploitation set out in this contract. All *pre-existing rights* are licensed to the Union from the moment the *results* are delivered and approved by the contracting authority.

The licensing of *pre-existing rights* to the Union under this contract covers all territories worldwide and is valid for the duration of intellectual property rights protection.

The payment of the price as set out in the contract is deemed to also include any fees payable to the contractor in relation to the licensing of *pre-existing rights* to the Union, including for all forms of exploitation and of use of the *results*.

Where *performance of the contract* requires that the contractor uses *pre-existing materials* belonging to the contracting authority, the contracting authority may request that the contractor signs an adequate licence agreement. Such use by the contractor will not entail any transfer of rights to the contractor and is limited to the needs of this contract.

II.13.3 Exclusive rights

The Union acquires the following exclusive rights:

- (a) reproduction: the right to authorise or prohibit direct or indirect, temporary or permanent reproduction of the *results* by any means (mechanical, digital or other) and in any form, in whole or in part;
- (b) communication to the public: the exclusive right to authorise or prohibit any display, performance or communication to the public, by wire or wireless means, including the making available to the public of the *results* in such a way that members of the public may access them from a place and at a time individually chosen by them; this right also includes the communication and broadcasting by cable or by satellite;
- (c) distribution: the exclusive right to authorise or prohibit any form of distribution of *results* or copies of the *results* to the public, by sale or otherwise;
- (d) rental: the exclusive right to authorise or prohibit rental or lending of the *results* or of copies of the *results*;
- (e) adaptation: the exclusive right to authorise or prohibit any modification of the *results*;
- (f) translation: the exclusive right to authorise or prohibit any translation, adaptation, arrangement, creation of derivative works based on the *results*, and any other alteration of the *results*, subject to the respect of moral rights of authors, where applicable;
- (g) where the *results* are or include a database: the exclusive right to authorise or prohibit the extraction of all or a substantial part of the contents of the database to

another medium by any means or in any form; and the exclusive right to authorise or prohibit the re-utilization of all or a substantial part of the contents of the database by the distribution of copies, by renting, by on-line or other forms of transmission;

- (h) where the *results* are or include a patentable subject-matter: the right to register them as a patent and to further exploit such patent to the fullest extent;
- (i) where the *results* are or include logos or subject-matter which could be registered as a trademark: the right to register such logo or subject-matter as a trademark and to further exploit and use it;
- (j) where the *results* are or include know-how: the right to use such know-how as is necessary to make use of the *results* to the full extent provided for by this contract, and the right to make it available to contractors or subcontractors acting on behalf of the contracting authority, subject to their signing of adequate confidentiality undertakings where necessary;
- (k) where the *results* are documents:
 - (i) the right to authorise the reuse of the documents in conformity with the Commission Decision of 12 December 2011 on the reuse of Commission documents (2011/833/EU), to the extent it is applicable and the documents fall within its scope and are not excluded by any of its provisions; for the sake of this provision, 'reuse' and 'document' have the meaning given to it by this Decision;
 - (ii) the right to store and archive the *results* in line with the document management rules applicable to the contracting authority, including digitisation or converting the format for preservation or new use purposes;
- (l) where the *results* are or incorporate software, including source code, object code and, where relevant, documentation, preparatory materials and manuals, in addition to the other rights mentioned in this Article:
 - (i) end-user rights, for all uses by the Union or by subcontractors which result from this contract and from the intention of the parties;
 - (ii) the rights to decompile or disassemble the software;
- (m) to the extent that the contractor may invoke moral rights, the right for the contracting authority, except where otherwise provided in this contract, to publish the *results* with or without mentioning the *creator(s)*' name(s), and the right to decide when and whether the *results* may be disclosed and published.

The contractor warrants that the exclusive rights and the modes of exploitation may be exercised by the Union on all parts of the *results*, be they created by the contractor or consisting of *pre-existing materials*.

Where *pre-existing materials* are inserted in the *results*, the contracting authority may accept reasonable restrictions impacting on the above list, provided that the said materials are easily identifiable and separable from the rest, that they do not correspond to

substantial elements of the *results*, and that, should the need arise, satisfactory replacement solutions exist, at no additional costs to the contracting authority. In such case, the contractor will have to clearly inform the contracting authority before making such choice and the contracting authority has the right to refuse it.

II.13.4 Identification of pre-existing rights

When delivering the *results*, the contractor must warrant that, for any use that the contracting authority may envisage within the limits set in this contract, the *results* and the *pre-existing material* incorporated in the *results* are free of claims from *creators* or from any third parties and all the necessary *pre-existing rights* have been obtained or licensed.

To that effect, the contractor must establish a list of all *pre-existing rights* to the *results* of this contract or parts thereof, including identification of the rights' owners. If there are no *pre-existing rights* to the *results*, the contractor must provide a declaration to that effect. The contractor must provide this list or declaration to the contracting authority together with the invoice for payment of the balance at the latest.

II.13.5 Evidence of granting of pre-existing rights

Upon request by the contracting authority, the contractor must provide evidence that it has the ownership or the right to use all the listed *pre-existing rights*, except for the rights owned or licensed by the Union. The contracting authority may request this evidence even after the end of this contract.

This evidence may refer, for example, to rights to: parts of other documents, images, graphs, fonts, tables, data, software, technical inventions, know-how, IT development tools, routines, subroutines or other programs ('background technology'), concepts, designs, installations or pieces of art, data, source or background materials or any other parts of external origin.

This evidence must include, as appropriate:

- (a) the name and version number of a software product;
- (b) the full identification of the work and its author, developer, *creator*, translator, data entry person, graphic designer, publisher, editor, photographer, producer;
- (c) a copy of the licence to use the product or of the agreement granting the relevant rights to the contractor or a reference to this licence;
- (d) a copy of the agreement or extract from the employment contract granting the relevant rights to the contractor where parts of the *results* were created by its *personnel*;
- (e) the text of the disclaimer notice if any.

Provision of evidence does not release the contractor from its responsibilities if it is found that it does not hold the necessary rights, regardless of when and by whom this fact is revealed.

The contractor also warrants that it possesses the relevant rights or powers to execute the transfer and that it has paid or has verified payment of all due fees including fees due to collecting societies, related to the final *results*.

II.13.6 Quotation of works in the result

In the *result*, the contractor must clearly point out all quotations of existing works. The complete reference should include as appropriate, the following: name of the author, title of the work, date and place of publication, date of creation, address of publication on the internet, number, volume and other information that allows the origin to be easily identified.

II.13.7 Moral rights of creators

By delivering the *results*, the contractor warrants that the *creators* will not object to the following on the basis of their moral rights under copyright:

- (a) that their names be mentioned or not mentioned when the *results* are presented to the public;
- (b) that the *results* be divulged or not after they have been delivered in their final version to the contracting authority;
- (c) that the *results* be adapted, provided that this is done in a manner which is not prejudicial to the *creator's* honour or reputation.

If moral rights on parts of the *results* protected by copyright may exist, the contractor must obtain the consent of *creators* regarding the granting or waiver of the relevant moral rights in accordance with the applicable legal provisions and be ready to provide documentary evidence upon request.

II.13.8 Image rights and sound recordings

If natural persons appear in a *result* or their voice or any other private element is recorded in a recognisable manner, the contractor must obtain a statement by these persons (or, in the case of minors, by the persons exercising parental authority) giving their permission for the described use of their image, voice or private element and, on request, submit a copy of the permission to the contracting authority. The contractor must take the necessary measures to obtain such consent in accordance with the applicable legal provisions.

II.13.9 Copyright notice for pre-existing rights

When the contractor retains *pre-existing rights* on parts of the *results*, reference must be inserted to that effect when the *result* is used as set out in Article I.10.1, with the following disclaimer: '© — year — European Union. All rights reserved. Certain parts are licensed under conditions to the EU', or with any other equivalent disclaimer as the contracting authority may consider best appropriate, or as the parties may agree on a case-by-case basis. This does not apply where inserting such reference would be impossible, notably for practical reasons.

II.13.10 Visibility of Union funding and disclaimer

When making use of the *results*, the contractor must declare that they have been produced under a contract with the Union and that the opinions expressed are those of the contractor only and do not represent the contracting authority's official position. The contracting authority may waive this obligation in writing or provide the text of the disclaimer.

II.14 FORCE MAJEURE

II.14.1 If a party is affected by *force majeure*, it must immediately *notify* the other party, stating the nature of the circumstances, their likely duration and foreseeable effects.

II.14.2 A party is not liable for any delay or failure to perform its obligations under the contract if that delay or failure is a *result* of *force majeure*. If the contractor is unable to fulfil its contractual obligations owing to *force majeure*, it has the right to remuneration only for the services actually provided.

II.14.3 The parties must take all necessary measures to limit any damage due to *force majeure*.

II.15 LIQUIDATED DAMAGES

II.15.1 Delay in delivery

If the contractor fails to perform its contractual obligations within the applicable time limits set out in this contract, the contracting authority may claim liquidated damages for each day of delay using the following formula:

$$0.3 \times (V/d)$$

where

V is the price of the relevant purchase or deliverable or *result* or, failing that, the price specified in Article I.4.1;

d is the duration specified for delivery of the relevant purchase or deliverable or *result* or, failing that, the duration of *performance of the contract* specified in Article I.3.3 expressed in days.

Liquidated damages may be imposed together with a reduction in price under the conditions laid down in Article II.16.

II.15.2 Procedure

The contracting authority must *formally notify* the contractor of its intention to apply liquidated damages and the corresponding calculated amount.

The contractor has 30 days following the date of receipt to submit observations. Failing that, the decision becomes enforceable the day after the time limit for submitting observations has elapsed.

If the contractor submits observations, the contracting authority, taking into account the relevant observations, must *notify* the contractor:

- (a) of the withdrawal of its intention to apply liquidated damages; or
- (b) of its final decision to apply liquidated damages and the corresponding amount.

II.15.3 Nature of liquidated damages

The parties expressly acknowledge and agree that any amount payable under this Article is not a penalty and represents a reasonable estimate of fair compensation for the damage incurred due to failure to provide the services within the applicable time limits set out in this contract.

II.15.4 Claims and liability

Any claim for liquidated damages does not affect the contractor's actual or potential liability or the contracting authority's rights under Article II.18.

II.16 REDUCTION IN PRICE

II.16.1 Quality standards

If the contractor fails to provide the service in accordance with the contract ('unperformed obligations') or if it fails to provide the service in accordance with the expected quality levels specified in the tender specifications ('low quality delivery'), the contracting authority may reduce or recover payments proportionally to the seriousness of the unperformed obligations or low quality delivery. This includes in particular cases where the contracting authority cannot approve a *result*, report or deliverable as defined in Article I.5 after the contractor has submitted the required additional information, correction or new version.

A reduction in price may be imposed together with liquidated damages under the conditions of Article II.15.

II.16.2 Procedure

The contracting authority must *formally notify* the contractor of its intention to reduce payment and the corresponding calculated amount.

The contractor has 30 days following the date of receipt to submit observations. Failing that, the decision becomes enforceable the day after the time limit for submitting observations has elapsed.

If the contractor submits observations, the contracting authority, taking into account the relevant observations, must *notify* the contractor:

- (a) of the withdrawal of its intention to reduce payment; or
- (b) of its final decision to reduce payment and the corresponding amount.

II.16.3 Claims and liability

Any reduction in price does not affect the contractor's actual or potential liability or the contracting authority's rights under Article II.18.

II.17 SUSPENSION OF THE PERFORMANCE OF THE CONTRACT

II.17.1 Suspension by the contractor

If the contractor is affected by *force majeure*, it may suspend the *performance of the contract*. The contractor must immediately *notify* the contracting authority of the suspension. The *notification* must include a description of the *force majeure* and state when the contractor expects to resume the *performance of the contract*.

The contractor must *notify* the contracting authority as soon as it is able to resume *performance of the contract*, unless the contracting authority has already terminated the contract.

II.17.2 Suspension by the contracting authority

The contracting authority may suspend the *performance of the contract* or any part of it:

- (a) if the procedure for awarding the contract or the *performance of the contract* proves to have been subject to *substantial errors, irregularities or fraud*;
- (b) in order to verify whether the presumed *substantial errors, irregularities or fraud* actually occurred.

The contracting authority must *formally notify* the contractor of the suspension. Suspension takes effect on the date of *formal notification*, or at a later date if the *formal notification* so provides.

The contracting authority must *notify* the contractor as soon as possible whether:

- (a) it is lifting the suspension; or
- (b) it intends to terminate the contract under Article II.18.1(f) or (j).

The contractor is not entitled to compensation for suspension of any part of the contract.

II.18 TERMINATION OF THE CONTRACT

II.18.1 Grounds for termination by the contracting authority

The contracting authority may terminate the contract in the following circumstances:

- (a) if provision of the services under the contract has not actually started within 15 days of the scheduled date and the contracting authority considers the new date proposed, if any, unacceptable, taking into account Article II.11.2;
- (b) if the contractor is unable, through its own fault, to obtain any permit or licence required for *performance of the contract*;

- (c) if the contractor does not perform the contract in accordance with the tender specifications or is in breach of another substantial contractual obligation.
- (d) if the contractor or any person that assumes unlimited liability for the debts of the contractor is in one of the situations provided for in points (a) and (b) of Article 106(1) of the Financial Regulation²;
- (e) if the contractor or any *related person* is subject to any of the situations provided for in points (c) to (f) of Article 106(1) or to Article 106(2) of the Financial Regulation.
- (f) if the procedure for awarding the contract or the *performance of the contract* prove to have been subject to *substantial errors, irregularities or fraud*;
- (g) if the contractor does not comply with applicable obligations under environmental, social and labour law established by Union law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to Directive 2014/24/EU;
- (h) if the contractor is in a situation that could constitute a *conflict of interest* or a *professional conflicting interest* as referred to in Article II.7;
- (i) if a change to the contractor's legal, financial, technical, organisational or ownership situation is likely to substantially affect the *performance of the contract* or substantially modify the conditions under which the contract was initially awarded;
- (j) in the event of *force majeure*, where either resuming implementation is impossible or the necessary ensuing amendments to the contract would mean that the tender specifications are no longer fulfilled or result in unequal treatment of tenderers or contractors;

II.18.2 Grounds for termination by the contractor

The contractor may terminate the contract if:

- (a) it has evidence that the contracting authority has committed *substantial errors, irregularities or fraud* in the procedure for awarding the contract or the *performance of the contract*;
- (b) the contracting authority fails to comply with its obligations, in particular the obligation to provide the information needed for the contractor to perform the contract as provided for in the tender specifications.

II.18.3 Procedure for termination

A party must *formally notify* the other party of its intention to terminate the contract and the grounds for termination.

² Regulation (EU, EURATOM) No 966/2012 on the financial rules applicable to the general budget of the Union, as amended <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32012R0966>

The other party has 30 days following the date of receipt to submit observations, including the measures it has taken to continue fulfilling its contractual obligations. Failing that, the decision to terminate becomes enforceable the day after the time limit for submitting observations has elapsed.

If the other party submits observations, the party intending to terminate must *formally notify* it either of the withdrawal of its intention to terminate or of its final decision to terminate.

In the cases referred to in points (a) to (d) and (g) to (i) of Article II.18.1 and in Article II.18.2, the date on which the termination takes effect must be specified in the *formal notification*.

In the cases referred to in points (e), (f) and (j) of Article II.18.1, the termination takes effect on the day following the date on which the contractor receives *notification* of termination.

In addition, at the request of the contracting authority and regardless of the grounds for termination, the contractor must provide all necessary assistance, including information, documents and files, to allow the contracting authority to complete, continue or transfer the services to a new contractor or internally, without interruption or adverse effect on the quality or continuity of the services. The parties may agree to draw up a transition plan detailing the contractor's assistance unless such plan is already detailed in other contractual documents or in the tender specifications. The contractor must provide such assistance at no additional cost, except if it can demonstrate that it requires substantial additional resources or means, in which case it must provide an estimate of the costs involved and the parties will negotiate an arrangement in good faith.

II.18.4 Effects of termination

The contractor is liable for damage incurred by the contracting authority as a result of the termination of the contract including the cost of appointing another contractor to provide or complete the services, unless the damage was caused by the situation specified in Article II.18.1 (j) or in Article II.18.2. The contracting authority may claim compensation for such damage.

The contractor is not entitled to compensation for any loss resulting from the termination of the contract, including loss of anticipated profits, unless the loss was caused by the situation specified in Article II.18.2.

The contractor must take all appropriate measures to minimise costs, prevent damage and cancel or reduce its commitments.

Within 60 days of the date of termination, the contractor must submit any report, deliverable or *result* and any invoice required for services that were provided before the date of termination.

In the case of joint tenders, the contracting authority may terminate the contract with each member of the group separately on the basis of points (d), (e) or (g) of Article II.18.1, under the conditions set out in Article II.11.2.

II.19 INVOICES, VALUE ADDED TAX AND E-INVOICING

II.19.1 Invoices and value added tax

Invoices must contain the contractor's (or leader's in the case of a joint tender) identification data, the amount, the currency and the date, as well as the contract reference.

Invoices must indicate the place of taxation of the contractor (or leader in the case of a joint tender) for value added tax (VAT) purposes and must specify separately amounts not including VAT and amounts including VAT.

The contracting authority is exempt from all taxes and duties, including VAT, in accordance with Articles 3 and 4 of the Protocol on the privileges and immunities of the European Union.

The contractor (or leader in the case of a joint tender) must complete the necessary formalities with the relevant authorities to ensure that the supplies and services required for *performance of the contract* are exempt from taxes and duties, including VAT.

II.19.2 E-invoicing

If provided for in the special conditions, the contractor (or leader in the case of a joint tender) submits invoices in electronic format if the conditions regarding electronic signature specified by Directive 2006/112/EC on VAT are fulfilled, i.e. using a qualified electronic signature or through electronic data interchange.

Reception of invoices by standard format (pdf) or email is not accepted.

II.20 PRICE REVISION

If a price revision index is provided in Article I.4.2, this Article applies to it.

Prices are fixed and not subject to revision during the first year of the contract.

At the beginning of the second and every following year of the contract, each price may be revised upwards or downwards at the request of one of the parties.

A party may request a price revision in writing no later than three months before the anniversary date of entry into force of the contract. The other party must acknowledge the request within 14 days of receipt.

At the anniversary date, the contracting authority must communicate the final index for the month in which the request was received, or failing that, the last provisional index available for that month. The contractor establishes the new price on this basis and communicates it as soon as possible to the contracting authority for verification.

The price revision is calculated using the following formula:

$$Pr = Po \times \left(\frac{Ir}{Io} \right)$$

where: Pr = revised price;

Po = price in the tender;

Io = index for the month in which the contract enters into force;

Ir = index for the month in which the request to revise prices is received.

II.21 PAYMENTS AND GUARANTEES

II.21.1 Date of payment

Payments are deemed to be effected on the date when they are debited to the contracting authority's account.

II.21.2 Currency

Payments are made in euros or in the currency provided for in Article I.7.

II.21.3 Conversion

The contracting authority makes any conversion between the euro and another currency at the daily euro exchange rate published in the Official Journal of the European Union, or failing that, at the monthly accounting exchange rate, as established by the European Commission and published on the website indicated below, applicable on the day when it issues the payment order.

The contractor makes any conversion between the euro and another currency at the monthly accounting exchange rate, established by the Commission and published on the website indicated below, applicable on the date of the invoice.

http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm

II.21.4 Costs of transfer

The costs of the transfer are borne as follows:

- (a) the contracting authority bears the costs of dispatch charged by its bank;
- (b) the contractor bears the costs of receipt charged by its bank;
- (c) the party causing repetition of the transfer bears the costs for repeated transfer.

II.21.5 Pre-financing, performance and money retention guarantees

If, as provided for in Articles I.5 or I.6, a financial guarantee is required for the payment of pre-financing, as performance guarantee or as retention money guarantee, it must fulfil the following conditions:

- (a) the financial guarantee is provided by a bank or a financial institution approved by the contracting authority or, at the request of the contractor and with the agreement of the contracting authority, by a third party;
- (b) the guarantor stands as first-call guarantor and does not require the contracting authority to have recourse against the principal debtor (the contractor).

The contractor bears the cost of providing such guarantee.

Pre-financing guarantees must remain in force until the pre-financing is cleared against interim payments or payment of the balance. Where the payment of the balance takes the form of a debit note, the pre-financing guarantee must remain in force for three months after the debit note is sent to the contractor. The contracting authority must release the guarantee within the following month.

Performance guarantees cover compliance with substantial contractual obligations until the contracting authority has given its final approval for the service. The performance guarantee must not exceed 10 % of the total price of the contract. The contracting authority must release the guarantee fully after final approval of the service, as provided for in the contract.

Retention money guarantees cover full delivery of the service in accordance with the contract including during the contract liability period and until its final approval by the contracting authority. The retention money guarantee must not exceed 10 % of the total price of the contract. The contracting authority must release the guarantee after the expiry of the contract liability period as provided for in the contract.

The contracting authority must not request a retention money guarantee where it has requested a performance guarantee.

II.21.6 Interim payments and payment of the balance

The contractor (or leader in the case of a joint tender) must send an invoice for interim payment, as provided for in Article I.5 or in the tender specifications.

The contractor (or leader in the case of a joint tender) must send an invoice for payment of the balance within 60 days of the end of the period of provision of the services, as provided for in Article I.5 or in the tender specifications.

Payment of the invoice and approval of documents does not imply recognition of the regularity, authenticity, completeness and correctness of the declarations and information they contain.

Payment of the balance may take the form of recovery.

II.21.7 Suspension of the time allowed for payment

The contracting authority may suspend the payment periods specified in Article I.5 at any time by *notifying* the contractor (or leader in the case of a joint tender) that its invoice cannot be processed. The reasons the contracting authority may cite for not being able to process an invoice are:

- (a) because it does not comply with the contract;
- (b) because the contractor has not produced the appropriate documents or deliverables;
or
- (c) because the contracting authority has observations on the documents or deliverables submitted with the invoice.

The contracting authority must *notify* the contractor (or leader in the case of joint tender) as soon as possible of any such suspension, giving the reasons for it.

Suspension takes effect on the date the contracting authority sends the *notification*. The remaining payment period resumes from the date on which the requested information or revised documents are received or the necessary further verification, including on-the-spot checks, is carried out. Where the suspension period exceeds two months, the contractor (or leader in the case of a joint tender) may request the contracting authority to justify the continued suspension.

Where the payment periods have been suspended following rejection of a document referred to in the first paragraph of this Article and the new document produced is also rejected, the contracting authority reserves the right to terminate the contract in accordance with Article II.18.1(c).

II.21.8 Interest on late payment

On expiry of the payment periods specified in Article I.5, the contractor (or leader in the case of a joint tender) is entitled to interest on late payment at the rate applied by the European Central Bank for its main refinancing operations in euros (the reference rate) plus eight points. The reference rate is the rate in force, as published in the C series of the *Official Journal of the European Union*, on the first day of the month in which the payment period ends.

Suspension of the payment period as provided for in Article II.21.7 is not considered as giving rise to late payment.

Interest on late payment covers the period running from the day following the due date for payment up to and including the date of payment as defined in Article II.21.1.

However, when the calculated interest is EUR 200 or less, it must be paid to the contractor (or leader in the case of a joint tender) only if it requests it within two months of receiving late payment.

II.22 REIMBURSEMENTS

II.22.1 If provided for in the special conditions or in the tender specifications, the contracting authority must reimburse expenses directly connected with the provision of the services either when the contractor provides it with supporting documents or on the basis of flat rates.

II.22.2 The contracting authority reimburses travel and subsistence expenses on the basis of the shortest itinerary and the minimum number of nights necessary for overnight stay at the destination.

II.22.3 The contracting authority reimburses travel expenses as follows:

- (a) travel by air: up to the maximum cost of an economy class ticket at the time of the reservation;
- (b) travel by boat or rail: up to the maximum cost of a first class ticket;

- (c) travel by car: at the rate of one first class rail ticket for the same journey and on the same day;

In addition, the contracting authority reimburses travel outside Union territory if it has given its prior written approval for the expenses.

II.22.4 The contracting authority reimburses subsistence expenses on the basis of a daily subsistence allowance as follows:

- (a) for journeys of less than 200 km for a return trip, no subsistence allowance is payable;
- (b) the daily subsistence allowance is payable only on receipt of supporting documents proving that the person concerned was present at the destination;
- (c) the daily subsistence allowance takes the form of a flat-rate payment to cover all subsistence expenses, including meals, local transport including transport to and from the airport or station, insurance and sundries;
- (d) the daily subsistence allowance is reimbursed at the flat rates specified in Article I.4.3;
- (e) accommodation is reimbursed on receipt of supporting documents proving the necessary overnight stay at the destination, up to the flat-rate ceilings specified in Article I.4.3.

II.22.5 The contracting authority reimburses the cost of shipment of equipment or unaccompanied luggage if it has given prior written approval for the expense.

II.23 RECOVERY

II.23.1 If an amount is to be recovered under the terms of the contract, the contractor must repay the contracting authority the amount in question.

II.23.2 Recovery procedure

Before recovery, the contracting authority must *formally notify* the contractor of its intention to recover the amount it claims, specifying the amount due and the reasons for recovery and inviting the contractor to make any observations within 30 days of receipt.

If no observations have been submitted or if, despite the observations submitted, the contracting authority decides to pursue the recovery procedure, it must confirm recovery by *formally notifying* a debit note to the contractor, specifying the date of payment. The contractor must pay in accordance with the provisions specified in the debit note.

If the contractor does not pay by the due date, the contracting authority may, after informing the contractor in writing, recover the amounts due:

- (a) by offsetting them against any amounts owed to the contractor by the Union or by the European Atomic Energy Community;
- (b) by calling in a financial guarantee if the contractor has submitted one to the contracting authority;

(c) by taking legal action.

II.23.3 Interest on late payment

If the contractor does not honour the obligation to pay the amount due by the date set by the contracting authority in the debit note, the amount due bears interest at the rate indicated in Article II.21.8. Interest on late payments will cover the period starting on the day after the due date for payment and ending on the date when the contracting authority receives the full amount owed.

Any partial payment is first entered against charges and interest on late payment and then against the principal amount.

II.23.4 Recovery rules in the case of joint tender

If the contract is signed by a group (joint tender), the group is jointly and severally liable under the conditions set out in Article II.6 (liability). The contracting authority first claims the full amount to the leader of the group.

If the leader does not pay by the due date and if the amount cannot be offset in accordance with Article II.23.2 (a), the contracting authority may claim the full amount to any other member of the group by *notifying* the debit note already sent to the leader under Article II.23.2.

II.24 CHECKS AND AUDITS

II.24.1 The contracting authority and the European Anti-Fraud Office may check or require an audit on the *performance of the contract*. This may be carried out either by OLAF's own staff or by any outside body authorised to do so on its behalf.

Such checks and audits may be initiated at any moment during the *performance of the contract* and up to five years starting from the payment of the balance.

The audit procedure is initiated on the date of receipt of the relevant letter sent by the contracting authority. Audits are carried out on a confidential basis.

II.24.2 The contractor must keep all original documents stored on any appropriate medium, including digitised originals if authorised under national law, for a period of five years starting from the payment of the balance.

II.24.3 The contractor must grant the contracting authority's staff and outside *personnel* authorised by the contracting authority the appropriate right of access to sites and premises where the contract is performed and to all the information, including information in electronic format, needed to conduct such checks and audits. The contractor must ensure that the information is readily available at the moment of the check or audit and, if so requested, that information is handed over in an appropriate format.

II.24.4 On the basis of the findings made during the audit, a provisional report is drawn up. The contracting authority or its authorised representative must send it to the contractor, who has 30 days following the date of receipt to submit observations.

The contractor must receive the final report within 60 days following the expiry of that deadline to submit observations.

On the basis of the final audit findings, the contracting authority may recover all or part of the payments made in accordance with Article II.23 and may take any other measure which it considers necessary.

II.24.5 In accordance with Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspection carried out by the Commission in order to protect the European Communities' financial interests against *fraud* and other *irregularities* and Regulation (EU, Euratom) No 883/2013 of the European Parliament and the Council of 11 September 2013 concerning investigation conducted by the European Anti-Fraud Office, the European Anti-Fraud Office may carry out investigations, including on-the-spot checks and inspections, to establish whether there has been *fraud*, corruption or any other illegal activity under the contract affecting the financial interests of the Union. Findings arising from an investigation may lead to criminal prosecution under national law.

The investigations may be carried out at any moment during the provision of the services and up to five years starting from the payment of the balance.

II.24.6 The Court of Auditors has the same rights as the contracting authority, particularly right of access, for the purpose of checks and audits.



EUROPEAN COMMISSION
DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT

Directorate B - Investment, Innovative & Sustainable Transport
The Director

CONTRACT AMENDMENT No 2

TO CONTRACT No MOVE/B4/SER/2017-358/SI2.770605

The European Union (hereinafter referred to as "the Union"), represented by the European Commission (hereinafter referred to as "the Commission"), which is represented for the purposes of signing this amendment by Mr Herald Ruijters, Director in the Directorate-General for Mobility and Transport, Directorate B – Investment, Innovative & Sustainable Transport, of the one part, and

Rupprecht Consult

Legal Status: GmbH

Registration Number HRB30833

Address of the registered office: Clever Strasse 13-15, 50668 Koeln, Germany

VAT Number DE198534371

appointed as the leader of the group by the members of the group that submitted the joint tender

Transport & Mobility Leuven

Legal Status: NV

Registration Number: 0476.966.024

Address of the registered office: Diestsesteenweg 57, 3010 Leuven, Belgium

VAT Number BE 0476.966.024

TRT Trasporti e territorio

Legal Status: SRL

Registration Number 08578370150

Address of the registered office: Via Rutilia 10/8, 20141 Milano, Italy

VAT Number IT-08578370150

EUROCITIES

Legal Status: ASBL

Registration Number 0447820987

Address of the registered office: Square de Meeûs 1, 1000 Brussels, Belgium

VAT Number BE 0447820987

POLIS

Legal Status: AISBL

Registration Number 5383/97

Address of the registered office: Rue du Trône 98, 1050 Brussels, Belgium

VAT Number BE0460.400.701

Union internationale des transports publics (UITP)

Legal Status: A.I.S.B.L (NGO, no profit)

Registration Number 0544.198.506

Address of the registered office: Rue Pierre Matheussens 8, 1140 Brussels, Belgium

VAT Number BE0544.198.506

(‘the contractor’), represented for the purposes of the signature of this contract by Siegfried Rupprecht, Director of Rupprecht Consult,

on the other part.

Having regard the above-mentioned contract concluded between the Union and the Contractor on 27 December 2017,

Whereas the above-mentioned contract should be amended for the following reason: the exceptional situation linked with COVID-19 pandemic and technical issues regarding hosting of the results of the project on Europa website,

HAVE AGREED AS FOLLOWS:

Article 1

Article I.3.3 is replaced by the following article:

The duration of the *performance of the contract* must not exceed 32 months.
Performance of the contract starts from the date of entry into force of the contract.

The period of *performance of the contract* may be extended only with the express written agreement of the parties before the expiration of such period.

Article 2

All the other provisions of the Contract shall remain unchanged.

Article 3

The present amendment shall form an integral part of the Contract and it shall enter into force on the date on which it is signed by the last party.

SIGNATURES

For the Contractor, Rupprecht Consult

Siegfried Rupprecht, Director

For the Commission,

Herald Ruijters, Director

signature: _____

signature: _____

Done at _____, on _____

Done at Brussels, on _____

In duplicate in English.

RUPPRECHT CONSULT GmbH ■ Clever Str. 13 - 15 ■ 50668 Köln ■ Germany

European Commission
Directorate-General for Mobility and Transport,
Unit B4
Mr Piotr Rapacz
Rue de Mot 28
B-1049 Brussels
BELGIUM

Cologne, October 13, 2020

INVOICE 20101301

Service Contract MOVE/B4/SER/2017-358/Sl2 .7 7 0605

Dear Mr Rapacz,

for services of the entire consortium we herewith request

payment of the balance (75 % of contracted sum) 1.156.178,25 EURO

This amount includes 0 % VAT.

Please transfer the amount within the contracted time frame.

Name of Bank: Sparkasse KölnBonn

BIC: COLSDE33XXX

IBAN: DE36370501980043032168

Account holder: Rupprecht Consult – Forschung & Beratung GmbH

Thank you very much.

Kind regards

Angéla Rupprecht

RUPPRECHT CONSULT GmbH ■ Clever Str. 13 - 15 ■ 50668 Köln ■ Germany

European Commission
Directorate-General for Mobility and Transport,
Unit B4
Mr Piotr Rapacz
Rue de Mot 28
B-1049 Brussels
BELGIUM

Cologne, February 13, 2019

INVOICE 19021301

Service Contract MOVE/B4/SER/2017-358/SI2 .7 7 0605

Dear Mr Rapacz,

for services of the entire consortium we herewith request

payment of 25 % of the contracted sum

385.392,75 EURO

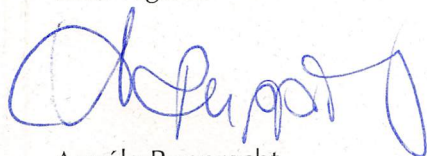
This amount includes 0 % VAT. This invoice replaces the invoice 19020701 sent February 7, 2019 which was rejected.

Please transfer the amount within the contracted time frame.

Name of Bank:	Sparkasse KölnBonn
BIC:	COLSDE33XXX
IBAN:	DE36370501980043032168
Account holder:	Rupprecht Consult – Forschung & Beratung GmbH

Thank you very much.

Kind regards



Angéla Rupprecht



THE NETWORK
OF MAJOR
EUROPEAN
CITIES

Invoice 2019/203

Brussels, 18 June 2019

Rupprecht Consult
Clever Strasse 13-15
DE - 50668 Koelen
Germany
VAT DE198534371

Service contract - N° **MOVE/B4/SER/2017-358/SI2.770605**

13.469.17 €

VAT reverse charge - EU Directive 2006/112/CE

Terms of payment - within 30 days of date of invoice

Please note:

- **Ensure transfer free of charges for EUROCITIES**
- **Mention reference 2019/203**

EUROCITIES ASBL - VAT number: BE 0 447.820.987

ING Belgium - Business Branch Marnix - rue du Trône, 14/16 - BE - 1000 Brussels

Account 310-1802383-15 - Swift BBRUBEBB - IBAN BE83 3101 8023 8315

Rupprecht Consult GmbH

Clever Strasse 13-15

50668 Koeln

Germany

VAT Number: DE 198534371

Page 1/1

INVOICE No S2019/4

Date: 25/03/2019

Description	Amount due (EURO)
Following our agreement on SUMI SERVICE CONTRACT NUMBER - MOVE/B4/SER/2017-358/SI2 .7 7 060 - 1 st SUMI project year	10.386,12
	€10.386,12

Reference to be quoted with the payment: S201904 Isaac

Payment in **EURO, free of all charges in our hands**, only by direct transfer to our account:

IBAN: BE50 4352 0203 5118

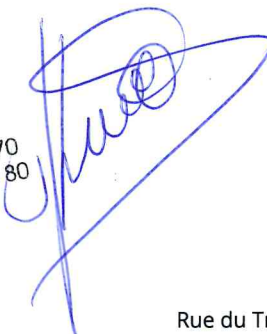
Account holder: POLIS AISBL – Rue du Trône 98 – 1050 Brussels – Belgium – BE 0460 400 701

Bank: **KBC bank** - Rue d'Arenberg 11- 1000 Brussels - Belgium

BIC (Code SWIFT): **KRED BE BB**

All correspondence should be addressed to the POLIS office in Brussels

POLIS AISBL
Rue du Trône 98
B-1050 Brussels
☎ : +32 (0)2 500 56 70
Fax : +32 (0)2 500 56 80



Rupprecht Consult - Forschung & Beratung GmbH
 Clever Strasse 13-15
 50668 Köln
 GERMANY

RPR LEUVEN 108.377
 VAT BE 0476.966.024

V.A.T. client DE198534371

INVOICE

INVOICE NUMBER <i>To be given</i>	DATE 25.03.2019	EXPIRY DATE 24.04.2019
--------------------------------------	---------------------------	----------------------------------

SUMI: 1 st project year Our reference 17033.....		53.743,67 €
V.A.T.		Reverse charge
TO PAY		53.743,67 €

Certified for real, the amount of:
 FIVE THREE SEVEN FOUR THREE EURO COMMA SIX SEVEN EUROCENT

Please pay into our bank account **IBAN BE 41 4320 0223 7110; BIC KREDBEBB** mentioning the **invoice number**.

Griet DE CEUSTER

CONDITIONS OF SALE

No complaint whatsoever shall be accepted upon the expiration of eight days after receipt of the invoice.
 All sale amounts shall be payable in ready money in Leuven, Belgium.
 If the customer does not comply with the terms of payment or the time of payment granted him, the entire amount of what is left to pay shall be claimable immediately. The drawing of bills of exchange shall not constitute a novation and does not discharge the customer from any terms of sale, notably concerning interests and damages in case of non-payment. The protesting of one single bill shall immediately make claimable all circulating bills of exchange. The formal notice shall result from this protest made out.
 In case of dispute or legal claim, the Court of Louvain shall be the only competent jurisdiction.
 Any invoices not paid at the due date shall produce ipso jure and without notice an interest of 2% per month. The mere non-payment of the invoice at the due date shall cause an amount of it to be increased by 20% ipso jure and without notice, with a minimum of € 30 worth of damages for the loss resulting from the late performance of the payment obligation.



VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln, Germany

VAT Nr: DE19853437

Via Rutilia, 10/8
20141 Milano
Tel. +39 02 57410380
Fax +39 02 55212845
P. IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano n. 1233010
Trib. MI 265693/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 26th of March 2019

INVOICE nr. 016/2019

*Ref: Technical support related to sustainable urban mobility indicators -
1st SUMI project year*

Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017

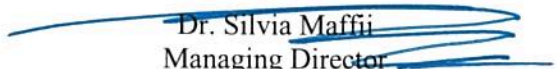
1 st payment for TRT activities		€ 60,604.63
1 st payment for subcontractors activities	(to be used to reimburse subcontractors)	€ 29,620.00
Total due		€ 90,224.63

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano
IBAN: **IT 30 X 03440 01606 000000269800**
BIC/SWIFT: **BDBDIT22**

TRT Trasporti e Territorio Srl


Dr. Silvia Maffei
Managing Director
and Legal Representative



ADVANCING
PUBLIC
TRANSPORT

Union Internationale des Transports Publics

Rue Sainte-Marie 6, B-1080 Brussels | Belgium
Tel +32 (0)2 673 61 00 | Fax +32 (0)2 660 10 72

info@uitp.org | www.uitp.org

Numéro d'entreprise/TVA: BE 0544.198.506 | Forme Juridique : A.I.S.B.L.

INVOICE FACTURE RECHNUNG FACTURA

RUPPRECHT CONSULT - FORSCHUNG & BERATUNG
GmbH
Mr BRAUN Marcel
Clever Straße 13-15

50668 KÖLN
GERMANY

VAT: DE 198534371

Invoice reference to be mentioned on the payment	➔	19120055	<u>Invoice date:</u> 17/05/2019
	➔		<u>UITP Company Nr.</u> 11138000
	➔		<u>Your Purchase Order</u>
	➔		

1 / 1

	Qty.	Price VAT excl.	Disc.	Total VAT excl.	VAT
Interim payment for SUMI project activities	1,00	22.361,50		22361,50	
1st year amount claimed 28577, reduced by 21.75%=6215.50 to set aside funding for the Data Procurement Fund. This amount will be added to the claim for 2nd SUMI invoice.					
Reverse charge applies					

Our invoices are to be paid immediately. In case of non payment, the amount of the invoice will be automatically raised by 5%. For administrative reasons please send your payment by bank transfer. Cheques will be returned to their emitter. Thank you very much.

Nos factures sont payables immédiatement. En cas de non-paiement, le montant de celle-ci sera automatiquement majoré d'une indemnité forfaitaire de 5 %. Pour des raisons administratives, nous vous prions d'exécuter votre paiement par virement bancaire. Les chèques seront retournés à leur émetteur. Avec nos remerciements.

Unsere Rechnungen sind sofort fällig. Im Fall der Nichtzahlung erhöht sich der Betrag automatisch um 5%. Aus administrativen Gründen bitten wir Sie, Ihre Zahlung per Banküberweisung durchzuführen. Schecks werden an den Absender zurückgesandt. Vielen Dank.

Nuestras facturas son pagaderas inmediatamente. En caso de impago, se aplicará automáticamente un recargo por morosidad del 5%. Por motivos administrativos, le rogamos efectúe el pago exclusivamente por transferencia bancaria. Todo cheque recibido será devuelto a su emisor. Le agradecemos su atención y el respeto de estas condiciones de pago.

UITP Bank Account Reference
BNP PARIBAS
Montagne du parc, 3
1000 BRUXELLES
BELGIUM

IBAN: BE57 2100 1173 5335
BIC: GEBABEBB



TRT TRASPORTI E TERRITORIO SRL

VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln, Germany

VAT Nr: DE19853437

**TRT TRASPORTI E
TERRITORIO SRL**

Via Rutilia, 10/8
20141 Milano
Tel. +39 02 57410380
Fax +39 02 55212845
P.IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano 1233010
Trib. MI 2656/93/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 9th of December 2020

INVOICE nr. 073/2020

*Ref: Technical support related to Sustainable Urban Mobility Indicators -
Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017*

Final payment € 323 340.83

Total due € 323 340.83

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Imposta di bollo assolta in modo virtuale

Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano

IBAN: IT 30 X 03440 01606 000000269800

BIC/SWIFT: BDBDIT22

TRT Trasporti e Territorio Srl

Dr. Silvia Maffii

Managing Director
and Legal Representative

INVOICE FACTURE RECHNUNG FACTURA		RUPPRECHT CONSULT - FORSCHUNG & BERATUNG GmbH Mr BRAUN Marcel Clever Straße 13-15 50668 KÖLN GERMANY VAT: DE 198534371	
Invoice reference to be mentioned on the payment	➔	20120090	<u>Invoice date:</u> 10/12/2020
	➔		<u>UITP Company Nr.</u> 11138000
	➔		<u>Your Purchase Order</u>
	➔		

1/ 1

	Qty.	Price VAT excl.	Disc.	Total VAT excl.	VAT																								
Final Payment for the SUMI Project	1,00	68.023,43		68.023,43																									
Reverse charge applies																													
<table> <tr> <th>Rate</th><th>Base</th><th>VAT</th><th colspan="3"></th></tr> <tr> <td></td><td>68.023,43</td><td></td><td colspan="3">VAT shifted to recipient</td></tr> <tr> <td></td><td>68.023,43</td><td></td><td colspan="2">Communication: SALE DIV-20120090</td><td></td></tr> <tr> <td></td><td></td><td></td><td colspan="2">Total</td><td>68.023,43 EUR</td></tr> </table>						Rate	Base	VAT					68.023,43		VAT shifted to recipient				68.023,43		Communication: SALE DIV-20120090						Total		68.023,43 EUR
Rate	Base	VAT																											
	68.023,43		VAT shifted to recipient																										
	68.023,43		Communication: SALE DIV-20120090																										
			Total		68.023,43 EUR																								

MSteriu

Our invoices are to be paid immediatly. In case of non payment, the amount of the invoice will be automatically raised by 5%. For administrative reasons please send your payment by bank transfer. Cheques will be returned to their emitter. Thank you very much.	Nos factures sont payables immédiatement. En cas de non-paiement, le montant de celle-ci sera automatiquement majoré d'une indemnité forfaitaire de 5 %. Pour des raisons administratives, nous vous prions d'exécuter votre paiement par virement bancaire. Les chèques seront retournés à leur émetteur. Avec nos remerciements.	Unsere Rechnungen sind sofort fällig. Im Fall der Nichtzahlung erhöht sich der Betrag automatisch um 5%. Aus administrativen Gründen bitten wir Sie, Ihre Zahlung per Banküberweisung durchzuführen. Schecks werden an den Absender zurückgesandt. Vielen Dank.	Nuestras facturas son pagaderas inmediatamente. En caso de impago, se aplicará automáticamente un recargo por morosidad del 5%. Por motivos administrativos, le rogamos efectúe el pago exclusivamente por transferencia bancaria. Todo cheque recibido será devuelto a su emisor. Le agradecemos su atención y el respeto de estas condiciones de pago.
UITP Bank Account Reference BNP PARIBAS Montagne du parc, 3 1000 BRUXELLES BELGIUM		IBAN: BE57 2100 1173 5335 BIC: GEBABEBB	



THE NETWORK
OF MAJOR
EUROPEAN
CITIES

INVOICE NO . 409

Rupprecht Consult - Forschung & Beratung

Clever Strasse 13-15

50668 KÖLN
DE GERMANY
DE-198534371

Brussels, 10/12/2020

Reference : Final payment - Project SUMI

SUMI - Service contract N° MOVE/B4/SER/2017-358/SI2.770605

63.691,79

Exempt of VAT according to EC Directive 2006/112/CE

Base Amount	63.691,79	EUR
VAT % 0	0,00	EUR
TOTAL :	63.691,79	EUR

Please note:

- ensure transfer free of charges for EURO CITIES
- mention reference +++870/0000/40984+++
- Terms of payment - within 30 days of date of invoice

1, Square de Meeûs
B-1000 Brussels
tel +32-2-552.0888
vat be 0 447 820 987
www.eurocities.eu
info@eurocities.eu

EURO CITIES ASBL - VAT n° : BE-0447.820.987
ING Belgium - Business Branch Marnix - rue du Trône, 14/16 - BE-1000 Brussels
Account 310-1802383-15 - Swift : BBRUBEBB - IBAN : BE83 3101 8023 8315

Rupprecht Consult – Forschung &
Beratung GmbH

Clever Str. 13-15

50668 Cologne

Germany

VAT Number: DE 198534371

Page 1/1

INVOICE No S2020/15

Date: 01/12/2020

Description	Amount due (EURO)
Following our agreement on SUMI	€ 63.221,37
SERVICE CONTRACT	
NUMBER - MOVE/B4/SER/2017-358/SI2.77	
0605	
Final payment	
<i>Total due within 30 days</i>	€63.221,37

Reverse charges

Reference to be quoted with the payment: S202015_SUMI

Payment in **EURO**, **free of all charges in our hands**, only by direct transfer to our account:

IBAN: BE50 4352 0203 5118

Account holder: POLIS AISBL – Rue du Trône 98 – 1050 Brussels – Belgium –

VAT: number BE 0460 400 701

Bank: **KBC bank** - Rue d'Arenberg 11- 1000 Brussels - Belgium

BIC (Code SWIFT): **KRED BE BB**

All correspondence should be addressed to the POLIS office in Brussels



DIESTSESTEENWEG 57
3010 LEUVEN
BELGIUM

TEL +32 16 317730
FAX +32 16 317739

IBAN: BE 41 4320 0223 7110
BIC: KREDBEBB
Bank Address:
KBC BEDRIJVENKANTOOR
Brusselsesteenweg 100
B-3000 Leuven

Rupprecht Consult
Forschung & Beratung GmbH
Clever Strasse 13-15
50668 Köln
GERMANY

RPR LEUVEN 108.377
VAT BE 0476.966.024

V.A.T. client DE198534371

INVOICE

INVOICE NUMBER	DATE	EXPIRY DATE
2020/130	11.12.2020	25.12.2020

SUMI project: final payment Amount according to the SUMI_final_budget_Changes- distribution_of_difference and the correction for 16 extra days. Our reference 17033..... <i>Sent via mail to: m.braun@rupprecht-consult.eu</i>		199.907,76 €
V.A.T.		Reverse charge
TO PAY		199.907,76 €

Certified for real, the amount of:
ONE NINE NINE NINE ZERO SEVEN EURO COMMA SEVEN SIX EUROCENT

Please pay into our bank account **IBAN BE 41 4320 0223 7110; BIC KREDBEBB** mentioning the **invoice number**.


Griet DE CEUSTER

CONDITIONS OF SALE

No complaint whatsoever shall be accepted upon the expiration of eight days after receipt of the invoice.

All sale amounts shall be payable in ready money in Leuven, Belgium.

If the customer does not comply with the terms of payment or the time of payment granted him, the entire amount of what is left to pay shall be claimable immediately. The drawing of bills of exchange shall not constitute a novation and does not discharge the customer from any terms of sale, notably concerning interests and damages in case of non-payment. The protesting of one single bill shall immediately make claimable all circulating bills of exchange. The formal notice shall result from this protest made out.

In case of dispute or legal claim, the Court of Louvain shall be the only competent jurisdiction.

Any invoices not paid at the due date shall produce ipso jure and without notice an interest of 2% per month. The mere non-payment of the invoice at the due date shall cause an amount of it to be increased by 20% ipso jure and without notice, with a minimum of € 30 worth of damages for the loss resulting from the late performance of the payment obligation.



VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln,
Germany

VAT Nr: DE19853437

Via Rutilia, 10/8
20141 Milano
Tel. +39 02 57410380
Fax +39 02 55212845
P. IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano n. 1233010
Trib. MI 265693/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 20th of December 2019

INVOICE nr. 078/2019

*Ref: Technical support related to sustainable urban mobility indicators -
SUMI data procurement fund*

Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017

Reimbursement:

EDINBURGH Inv. 7R214034 of 31.10.19

Data procurement SUMI project (GBP 1.123,58) – Exchange rate at 20/12/19: 1,17394 Attached copy € 1,319,02

BUDAPEST Inv. 920105999 of 17.12.2019

Filled SUMI Modal split indicator table Attached copy € 5,000.00

DUBLIN Inv. 156258 of 16.10.19

Collection of data for SUMI project Attached copy € 1,998.75

Total due € **8,317.77**

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Imposta di bollo virtuale

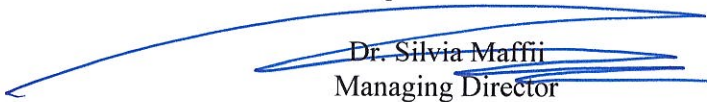
Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano

IBAN: **IT 30 X 03440 01606 000000269800**

BIC/SWIFT: **BDBDIT22**

TRT Trasporti e Territorio Srl


Dr. Silvia Maffii
Managing Director
and Legal Representative



VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln,
Germany

VAT Nr: DE19853437

Via Rutilia, 10/8
20141 Milano
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P. IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano n. 1233010
Trib. MI 265693/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 14^h of November 2019

INVOICE nr. 065/2019

Ref: *Technical support related to sustainable urban mobility indicators -
1st SUMI project year*

Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017

Reimbursement

TUVISA Fakt. 180084 of 2.10.2019

Data procurement fund of the SUMI project

Attached copy

€ 3,890.00

Total due

€ 3,890.00

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Imposta di bollo virtuale

Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano

IBAN: IT 30 X 03440 01606 000000269800

BIC/SWIFT: BDBDIT22

TRT Trasporti e Territorio Srl


Dr. Silvia Maffii

Managing Director
and Legal Representative



www.vitoria-gasteiz.org/tuvisa

Faktura Factura

Agirrelanda, 2, 01013 Vitoria-Gasteiz

IFK - CIF: A01005230

Telefonoa - Teléfono: 945 16 10 54
tuvisa@vitoria-gasteiz.org

Bezeroa - Cliente TRT TRANSPORTI E TERRITORIO SRL

Helbidea - Dirección VIA RUTILIA 10/8

Udalerría - Población / P.K. - C.P. MILANO 20141

IFK - CIF IT08578370150

Faktura zk. - Nº Factura	Sorta - Serie	Data - Fecha	Bezeroaren kodea - Código cliente	Orria - Hoja
180084	01	02/10/2019	1664	1

Kontzeptua Concepto	Kopurua Cantidad	Aleko salneurria Precio unitario	Deskontu % % Descuento	Zenbatekoa Importe
------------------------	---------------------	-------------------------------------	---------------------------	-----------------------

2019/10/02ko 01 180093 emate agiria - Albarán 01 180093 de fecha 02/10/2019

BESTE BATZUK	1,00	3.890,00		3.890,00
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OTROS

Satisfaction poll in public transport of

Vitoria-Gasteiz 2019

Reimbursement to be distributed from the data

procurement fund of the SUMI project

Zenbatekoa, guztira Importe total	Oinarri zergagarria Base imponible	BEZ mota Tipo IVA	BEZ cuota Cuota IVA	Faktura, guztira Total factura
3.890,00	3.890,00	0,00%	0,00	3.890,00 €

Ordainketa - Forma de pago

RECIBO

LKko GURE KONTUA/NUESTRA CTA LK

IBAN ES35 3035 0012 7101 2002 4577

BIC/SWIFT CLPEES2MXXX

Epemuga - Vencimiento

02/11/2019

3.890,00€

Datuen babestegi buruzko 15/1999 Learen arabera, jakinarazten dizugu kontratua formalizatzeko zuzen emandako datu pertsonalak TRANSPORTES URBANOS DE VITORIA, S.A. (TUVISA) enpresaren fitxategietan gordetako direla, harremanetan egoteko eta TUVISAren zerbitzuak erabiltzeko kontratu-harremana garatzeko, baretzeko eta lurropeatzeko.

Datuak erabiltzeko, zuzentzeko, baliogaberi eta kontra egiteko eskubidea erabili dezakezu, eskatutako datuak erabiltzekoaren bitartez, TRANSPORTES URBANOS DE VITORIA, S.A. (TUVISA) enpresari datuak eta (Agirrelanda kalea 2, 01013, Gasteiz, Araba) NANaren kopia bidaltzeko. Datuak erabiltzeko gaitasun berberak erabili behar duzue jakinarazteko, egin arazko, enpresak ez du ardurarik erantzukizunik izango.

De acuerdo con la LO 15/1999, de Protección de Datos, informamos que los datos personales aportados para la formalización de la relación contractual, y los derivados de la misma, son integrados en los ficheros de TRANSPORTES URBANOS DE VITORIA, S.A. (TUVISA), con las finalidades de mantenimiento del contacto, así como el desarrollo, cumplimiento y control de la relación contractual con usuarios/as de los servicios de TUVISA.

Puede ejercitar los derechos de acceso, rectificación, cancelación y oposición, mediante solicitud escrita y firmada TRANSPORTES URBANOS DE VITORIA, S.A. (TUVISA) Calle Agirrelanda 2, 01013 Vitoria (Álava), adjuntando en todo caso copia de su DNI. En caso de modificación de sus datos deberá notificarnos en la misma dirección, declamando toda responsabilidad para la empresa en caso de no hacerlo.



VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln,
Germany

VAT Nr: DE19853437

Via Rutilia, 10/8
20141 Milano
Tel. +39 02 57410380
Fax +39 02 55212845
P. IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano n. 1233010
Trib. MI 265693/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 25th of February 2020**INVOICE nr. 007/2020**

Ref: *Technical support related to sustainable urban mobility indicators -
SUMI data procurement fund*

Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017

Reimbursement:

- AREA METROPOLITANA BARCELONA Receipt 5/2/2020	Attached copy	€	3.499,68
- Bank fees for the transfer in foreign value:			
- MUNICIPIUL TIMISOARA		€	29,08
- MILTON KEYNES	Attached copies	€	10,36
- Differences on exchange rate applied by the banks:			
- MUNICIPIU TIMISOARA (€ 627,06 already reimbursed, € 652,44 actually paid)		€	25,35
- MILTON KEYNES (€ 2.068,75 already reimbursed, € 2.084,57 actually paid)	Attached copies	€	15,02
Total due		€	3,579.49

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Imposta di bollo virtuale





Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano
IBAN: IT 30 X 03440 01606 000000269800
BIC/SWIFT: BDBDIT22

TRT Trasporti e Territorio Srl

Dr. Silvia Maffii
Managing Director
and Legal Representative

Paese Eur Cin Abi Cab N° Conto
Iban IT 75 L 02008 01646 000010212214
Codice BIC SWIFT: UNCRITM1248
Numero Rapporto: 10212214 - Valuta in EUR

-  Business Center di VIA CARLO POMA, 1 MILANO
-  +39 020286813240
-  Gabriella.Moscato@unicredit.eu
Il vostro Consulente, GABRIELLA MOSCATO è a disposizione per fornire un'assistenza sempre più completa.
-  Servizio Clienti 800.57.57.57
Dall'Estero +39 02.33.40.89.73
Servizio Clienti Imprese da rete fissa 848.88.00.88 da cellulare 02.33.40.89.73

TRT TRASPORTI E TERRITORIO SRL
VIA RUTILIA 10/8
20141 MILANO MI

00248


Gentile Cliente,
Vi comunichiamo l'elenco delle operazioni di bonifico SEPA che abbiamo eseguito sulla base delle disposizioni conferiteci, provvedendo al contestuale regolamento sul vostro rapporto.

ELENCO BONIFICI

Data	Valuta	Descrizione	Importo
04.02.20	04.02.20	Ordinante: TRT TRASPORTI E TERRITORIO SRL IBAN Beneficiario: ES1101826035430200082899 Beneficiario: AREA METROPOLITANA DE BARCELONA Presso: BBVAESMMXXX BANCO BILBAO VIZCAYA ARGENTARIA S.A. Motivazione: APPLICATION TO THE 2ND CALL OF DATA PROCUREMENT FUND - RECEIPT REQUEST ED Ricezione: 04.02.2020 15.25 Canale: Internet Banking Riferimento: 1101200350348381 Note: Spese Esecuzione : 0,74	3.499,68
Totale commissioni			0,74
Totale importo addebitato			3.500,42

Le ricordiamo che la sua Filiale UniCredit è a disposizione per ogni eventuale chiarimento. Cordiali saluti.

UniCredit S.p.A.

 Per il blocco della sua carta di debito può chiamare anche il servizio Clienti 800.57.57.57 e dall'estero +39 02.33.40.89.73

 www.unicredit.it

UniCredit SpA - Sede Sociale e Direzione Generale: Piazza Gae Aulenti, 3 - Tower A - 20154 Milano - Capitale Sociale € 20.994.799.961,81 interamente versato - Banca iscritta all'Albo delle Banche e Capogruppo del Gruppo Bancario UniCredit - Albo dei Gruppi Bancari: cod. 02008.1 - Cod. ABI 02008.1 - Iscrizione al Registro delle Imprese di Milano-Monza-Brianza-Lodi, Codice Fiscale e P. IVA n° 00348170101 - Aderente al Fondo Interbancario di Tutela dei Depositi e al Fondo Nazionale di Garanzia - Imposta di bollo, ove dovuta, assolta in modo virtuale - Aut. Agenzia delle Entrate, Ufficio di Roma 1, n. 143106/07 del 21.12.2007

BBVA

LIQUIDACIÓN POR OPERACIONES DE COMERCIO EXTERIOR

ORDEN DE PAGO RECIBIDA

OPERACIÓN NÚM : 31.480.635

ORDENANTE	REF. BCO. ORDENANTE	REF. BCO. INTERMEDIARIO
BCO. ORDENANTE	IMPORTE ORIGINAL	REF. CLIENTE
BCO. INTERMEDIARIO	FECHA RECEPCIÓN	BENEFICIARIO
MOTIVO	TIPO DE GASTOS	

TRT TRASPORTI E TERRITORIO SRL
UNCRITMXXX

APPLICATION TO THE 2ND CALL OF DATA

1101200350348381

EUR

3.499,68

05-02-20

COMPARTIDOS

AREA METROPOLITANA DE BARCELONA BAR

REFERENCIA DEL ORDENANTE.....: NOTPROVIDED

TIPO TRSF: PAGO A PROVEEDORES

IBAN.: ES1101826035430200082899

DETALLE PAGO: APPLICATION TO THE 2ND CALL OF DATA PROCUREMENT FUND - RECEIPT REQUEST ED

MERCADO CONTADO DIV EUR IMPORTE

3.499,68

CBO.

1,0000000

CONT.

3.499,68

LIQUIDO TOTAL EUR 3.499,68

TITULARES
AREA METROPOLITANA DE BARCELONA

Le informamos que hemos ABONADO en su cuenta, por el concepto
indicado, la cantidad señalada como LIQUIDO TOTAL.

OFICINA

FECHA

IBAN

VALOR

HOJA

INSTITUCIONES CATALUNYA

ES11 0182 6035 4302 0008 2899

05-02-20

05-02

1

Z40000040888952762020-02-05018260350020000000000000082899

181 /01

20200206

PIA101

BANCO DI DESIO E DELLA BRIANZA S.p.A., con sede legale in Desio (MB), via Rovagnati n. 1, iscritta alla Camera di Commercio Metropolitana di Milano, Monza e Brianza e Lodi, R.E.A. n. MB-128094, codice fiscale n. 01181770155, Partita Iva n. 10537880984, capitale sociale Euro 70.692.590,28, i.v., aderente al Fondo Interbancario di Tutela dei Depositi e al Fondo Nazionale di Garanzia, iscritta all'Albo delle Banche al cod. ABI n. 3440/5 e Capogruppo del Gruppo Bancario Banco di Desio e della Brianza, iscritto all'Albo dei Gruppi Bancari al n. 3440/5.



00320

TRT TRASPORTI E TERRITORIO S.R.L.
BREVEMENTE TRT S.R.L.
VIA RUTILIA 10/8
20141 MILANO MI

PAG. SPESE/COMM.
INTL.DEPT.V.ROVAGNATI 1-DESIO
CAUSALE OPERAZIONE:
PAGAMENTO SPESE E COMMISSIONI

DATA 05/02/2020
NS.RIF 200205COM28704

DATA REGOLAMENTO SU C/C 05/02/2020

NOTE CLIENTE
PAGAMENTO SPESE E COMMISSIONI
OPERAZIONE N 9643 DEL 050220

CODICE FILIALE: 00320
FILIALE DI MILANO 320

CLIENTE
TRT TRASPORTI E TERRITORIO S.R.L.
BREVEMENTE TRT S.R.L.
VIA RUTILIA 10/8
20141 MILANO

DIVISA	IMPORTO	VALUTA	CAMBIO	IMPORTO EURO	SEGNO	DESCRIZIONE/CONTO
EUR*	20,00*	*	*	20,00*	*	*REC.SPESE OUR DA CL
*	*	*	*	*	*	*
EUR*	2,58*	*	*	2,58*	*	*COMM INTERV
*	*	*	*	*	*	*
EUR*	6,50*	*	*	6,50*	*	*REC.SPESE DA CL.RES.
*	*	*	*	*	*	*
EUR*	29,08*05/02*	*	*	29,08*	*	*DEB*C/000000269800 C/C
*	*	*	*	*	*	*AGENZIA 320
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*
*	*	*	*	*	*	*

* BANCO DI DESIO E DELLA BRIANZA SPA

*

*

LOG DATA NUMERO OPERATORE
05/02/2020 00009707 HI01790

Banco di Desio e della Brianza S.p.A.



MILANO CHIARADIA - P.ZA CHIARADIA, 12
20141 MILANO MI

MILANO 04.02.2020

F. COMPETENTE: 09202 UBIS-ESTERO
FILIALE: 00248 MILANO CHIARADIA

RICEZIONE ORDINE: DATA - ORA

04.02.2020 12.23

RIFERIMENTO UETR

441337d8-71a8-451b-9309-096884be66d9

CANALE PROVENIENZA ORDINE

Elettronico

NOSTRI RIFERIMENTI

111012055326

Signori,
in conformità alle Vs. istruzioni abbiamo
dato corso all'ordine di pagamento di:

GBP 1.750,00

Il controvalore di:

GBP 1.750,00

al cambio di: 0,839500

→ è pari a EUR 2.084,57

Tale importo, unitamente alle nostre
spese e commissioni totali di:

EUR 10,36

Viene notato a debito sul Vs. conto

IBAN - Coordinate Bancarie

IT	75	L	02008	01646	000010212214
PAESE CIN EUR	CIN BANCA (ABI) SPORT. (CAB)	N. CONTO			

con valuta 04/02/2020

per un totale di:

EUR 2.094,93

Distinti saluti.

TRT TRASPORTI E TERRITORIO SRL
VIA RUTILIA 10 / 8
20141 MILANO MI

00248

BENEFICIARIO

MILTON KEYNES COUNCIL
1 SAXON GATE EAST
MILTON KEYNES

BANCA INCARICATA

NATIONAL WESTMINSTER BANK PLC
135 BISHOPSGATE
EC2 LONDON REGNO UNITO

MOTIVAZIONE

INVOICE 425000841721 OF 29.1.20

DETTAGLIO SPESE E COMMISSIONI

Comm. di Servizio: EUR 3,76

Spese Bonifico Premium:

Spesa Esecuzione: EUR 6,60

Spese Copertura:

Spese Reclamate:

Assenza IBAN:

Totale

A debito Vs. conto: EUR 10,36 →

IBAN - Coordinate Bancarie

PAESE CIN EUR	CIN BANCA (ABI) SPORT. (CAB)	N. CONTO
-----------------	----------------------------------	----------

con valuta

Andrea Casini
Co-CEO Commercial Banking Italy
UniCredit S.p.A.

Remo Taricani
Co-CEO Commercial Banking Italy
UniCredit S.p.A.



TRT TRASPORTI E TERRITORIO SRL

VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln, Germany

VAT Nr: DE19853437

**TRT TRASPORTI E
TERRITORIO SRL**

Via Rutilia, 10/8
20141 Milano
Tel. +39 02 57410380
Fax +39 02 55212845
P.IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano 1233010
Trib. MI 2656/93/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 4th of June 2020

INVOICE nr. 024/2020

Ref: *Technical support related to sustainable urban mobility indicators -*
Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017

Money transfer for partial payment of
subcontracted UACs' invoices.

€ 51 547.71

Total due

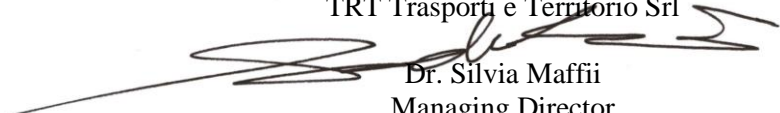
€ **51 547.71**

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano
IBAN: **IT 30 X 03440 01606 000000269800**
BIC/SWIFT: **BDBDIT22**

TRT Trasporti e Territorio Srl


Dr. Silvia Maffii
Managing Director
and Legal Representative



VAT IT08578370150

Rupprecht Consult GmbH
Clever Strasse 1 3-15,
50668 Koeln,
Germany

VAT Nr: DE19853437

Via Rutilia, 10/8
20141 Milano
Tel. +39 02 57410380
Fax +39 02 55212845
P. IVA 08578370150

Cap. Soc. € 100.000,00 i.v.
C.F. e P. IVA 08578370150
C.C. Milano n. 1233010
Trib. MI 265693/6895/43

Azienda con Sistema di
Gestione per la Qualità
UNI EN ISO 9001:2000
Certificato da DNV

Milan, 30^h of January 2020

INVOICE nr. 004/2020

*Ref: Technical support related to sustainable urban mobility indicators -
SUMI data procurement fund*

Contract MOVE/B4/SER/2017-358/SI2.770605 of 27/12/2017

Reimbursement:

MILTON KEYNES COUNCIL Inv. 425000841721 of
29.01.2020 (GBP 1.750,00) Non Government Grants
Exchange rate at 30/01/20: 1, 1824

Attached copy € 2,068.75

MUNICIPIUL TIMISOARA Inv.1820025 of 31.12.19
Collection of data for SUMI project (RON 3.000) -
Exchange rate at 30/01/20: 0.20948

Attached copy € 627,09

Total due

€ 2,695.84

(Operazione non imponibile ex art. 72 c. 1 lettera c) D.P.R. 633/72)

Imposta di bollo virtuale

Bank details:

Banco di Desio e della Brianza SpA – Via Ripamonti 265 – 20141 Milano
IBAN: IT 30 X 03440 01606 000000269800
BIC/SWIFT: BDBDIT22

TRT Trasporti e Territorio Srl


Dr. Silvia Maffii
Managing Director
and Legal Representative

INVOICE

milton keynes council

TRT Trasporti e Territorio Srl
Via Rutilia, 10/8
Milano
20141

Milton Keynes Council
Civic Offices
1 Saxon Gate East
Central Milton Keynes
MK9 3EJ

Page 1 / 1

Invoice No.: 425000841721
Customer ID: 32501021869
Date of Supply (Tax Point): 29/01/2020
Invoice Date: 29/01/2020
Payment Due Date: 28/02/2020
Your ref.: Purchase of TRACC software for

Any query regarding these charges contact:

Name	Lyndsey Brannen
Tel. No.	
Email	Lyndsey.Brannen@milton-keynes.gov.uk

VAT No. : 121488286

Description	Quantity	Unit Price	VAT %	VAT Amount	Net Amount £
Non Government Grants	1	1,750.00	0	0.00	1,750.00
Total exc. VAT					1,750.00
Total VAT					0.00
Total Amount in £					1,750.00

€ 2068,75
29/01/2020

Please note the format of your invoice and customer numbers has changed. Please ensure that you quote the new Payment Reference when making future payments.

For Details on How to Pay Please See Overleaf

Payment Information

Milton Keynes Council

TRT Trasporti e Territorio Srl
PayPoint Reference

PAYMENT REFERENCE 425000841721

AMOUNT DUE 1,750.00

PAYMENT DUE DATE 28/02/2020



9826 5159 5042 5000 8417 214

THIS INVOICE EXCLUDES ANY EXISTING PAYMENT ARRANGEMENTS

Furnizor: MUNICIPIUL TIMISOARA
Autorizatie: Legea 2/1968; Legea 215/2001
Legea 345/2002; 30-1/83699
C.I.F. RO 32937000

Seria TM
FACTURA

Nr. 1820025

Cumparator: TRT TRANSPORTI E
TERRITORIO SR

Sediu: Timisoara
B-dul C.D. Loga, Nr. 1
Judetul: Timis
Contul: RO57TREZ62121390203XXXXX
Banca: TREZORERIA Timisoara
Tel.: 0256408459

Nr. facturii: 1820025
Data(ziua, luna, anul): 30/12/2019
Nr. aviz insotire a
marfii:

Nr.inreg.
RC/an:
CUI: IT08578370150
Sediu: VIA RUTILIA, 10/8 , 20141
Judetul: ITALIA - MILANO
Contul:
Banca:

Nr. Crt.	Denumirea produselor /serviciilor	UM	Cantitatea	Pret Unitar	Valoare	TVA
1	RAMBURSARE DIN FONDUL DE COLECTARE DE DATE AL PROIECTULUI SUMI MOVE/B4/2017-358	BUC	1,000	3000,00	3000,00	0,00

SCADENTA:

Semnatura stampila furnizorului	Date privind expeditia Numele delegatului ora B.I./C.I. seria numarul eliberat(a) Mijloc de transport nr. AUTO Intocmit C.N.P.	Expedierea s-a facut in prezenta noastra in data de	Semnatura de primire	Total fara TVA: 3000,00	TVA: 0,00
				Total de plata: 3000,00 € 627,09	

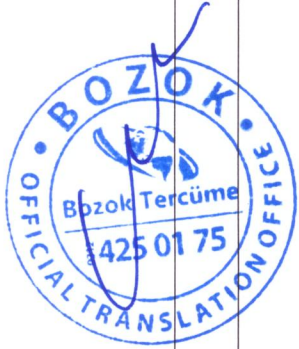
al 30/1/2020

Certificate of Experience (Contractor-Work Completion)		
Number: 16123-D-DT-1-1		Date: 19.11.2020
1	Name of the administration	ERZURUM METROPOLITAN MUNICIPALITY TRANSPORTATION DEPARTMENT
2	Name of the work and the tender registration number, if any	Traffic and Smart City Master Plan Service Procurement Work
3	Place of Work	ERZURUM (INCLUDING ERZURUM PROVINCIAL BORDERS)
4	Consultancy work description	<p>Within the scope of Traffic and Smart City Master Plan Work with 2035 target for Entire Erzurum Provincial Area;</p> <p>1) – Preparation of Traffic Master Plan</p> <p>State Highway, Ring Road and Urban Road Intersection Projects (10 km Highway and 30 Intersections) Approximately 10 km. Preparation of circulation routing plan, Preparation of Ground Level (Signalized) Intersection Projects, Preparation of Bicycle Road Projects and Geometric Designs, Traffic and Pedestrian Safety Design and Controls, Traffic Routing and Marking Plans, Testing with Micro Traffic Simulations, Traffic Surveys and Optimization, Preparation of Project Feasibility Analysis and Reports</p> <p>2) – Preparation of Public Transport Master Plan</p> <p>Analysis of Existing Information, Conducting Public Transport Passenger Counts, Conducting Operational Performance and Capacity Analysis of Public Transport Systems, Conducting Economic and Financial Analysis of Public Transport Enterprises and Evaluating the Implementation of Proposals, Developing Proposals and Strategies for Public Transport Operations;</p> <p>Network Planning and Line Route Planning and Optimization Plan,</p> <p>Planning Stops and Accessibility analysis</p> <p>Fleet Renewing Plan and Evaluation of Alternative Sustainable Energy Sources</p> <p>Integration and E-Ticket Applications</p> <p>E-Ticket Tariff Proposals</p>

NOTARY CERTIFIED TRANSLATION
BOZOK
NOTER YEMINLI TERCÜME



		<p>Public Transport Service Procurement Agreement Proposals</p> <p>Collective Focused Planning of New Settlements and Public Spaces</p> <p>Public Transport Transfer Centers Design</p> <p>Development of Institutional Structure and Establishment of Institutional Transformation Program, Development of Institutional Business Models (Creating and Developing Public and Private Cooperation Proposals), Institutional Capacity Analysis and Proposals, Preparation of Public Transport Action Plan</p> <p>3) - Preparation of Smart City Master Plan</p> <p>Creating a Smart City Vision, Evaluating the Existing Intelligent Transportation and Traffic Management Systems, Creating the Intelligent Transportation Systems Master Plan, Compliance with World and EU Standards in Smart City and Intelligent Transportation Systems and the Transition Plan, Preparation of Smart (Dynamic) Intersection Master Plan and Projects, Electronic Traffic Control System Master Plan and Projects, Development of Maintenance and Repair Proposals, Planning of Parking Control Systems, Preparation of Projects for Pedestrian and Red Light Violation Systems, Preparation of Speed Control Corridors Projects</p> <p>4) – Providing Traffic Engineering, Simulation and Intelligent Transportation Systems Training</p> <p>Compliance Trainings on Intelligent Transportation Systems, Increasing Institutional Capacity, Traffic Safety Design and Simulations Trainings, Creating Design Standards</p>
5	Contractor's name and surname or trade name	BOĞAZİÇİ PROJE MÜHENDİSLİK ANONİM ŞİRKETİ
6	Turkish Identity Number/Tax identification number	1790648133
7	If the contractor is a joint venture, partners and partnership rates; if the contractor is a consortium, the partners and the parts of	



	work carried out by these partners and the amount of these parts.	
8	Initial contract price	2.500.000,00 TRY
9	Total contract price	2.500.000,00 TRY
10	The amount of work performed	2.500.000,00 TRY
11	Contract date and date of tender, if any	Date of Contract: 25.07.2019
If the contract has been transferred		
12	a. Contract transfer date	
	b. The amount of work on the contract transfer date	
	c. The amount of work performed after transfer date	
13	Date of Acceptance of Work	14.08.2020
14	Certificate Amount	2.500.000,00 TRY
Explanation		

Signature

This is to certify that above translation from
Turkish in to English
 is correct and autentic with the original Translation
 Officialy Sworn by Public Notaries and Courts.



İşbu belgenin aslı/fotokopisi tarafımdan görülmüş
 olup, Türkçe 'den
İngilizce 'ye
 çevirisi tarafımdan yapılmıştır.

İşbu belge yeminli tercümanımız
Rahim Baccubşlı
 tarafından tercüme edilmiştir.